Settlement Client User Manual

Version 2.0 / October 2015

CENTRAL SECURITIES DEPOSITORY

OeKB CSD GmbH

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1 Document Versions and History of Changes

Version/Date	Chapter	Changes
1.0/08.04.2015		
2.0/08.10.2015	Chapter 3: Entry Page, Securities Accounts List Capter 13: User Roles	new

The screenshots and the description of functions represents the system state at the time of completion of this manual. As the system will be continuously updated and amended during the testing phase, the appearance of the user interface as well as the design of the available functionalities may diverge from the examples and procedures described here. The user documentation will be updated to represent the final state of the system when it goes live.

2 About the Manual

The manual describes the Settlement Client of the OEKB CSD for use in the daily work processes. You will learn how to work with the user interface, which inputs and activities in the Settlement Client produce the desired results, and which general or special functions are available to effectively process your settlement instructions.

2.1 Structure of the Settlement Client User Manual

The following overview outlines the individual chapters of the Settlement Client user manual and their contents. The third column of the table describes the main benefit from the chapter for the intended user group in the last column.

	Chapter	Content	User Benefit	User Group
Introduction	About the Manual	Presentation of the Settlement Client and of the user manual	Users will learn how to get started with the Settlement Client and become familiar with the Settlement Client user manual.	Users working with the Settlement Client for the first time.
	The Settlement Client	Structure of the Settlement Client user interface and overview of the user interface's elements	Users will find support when learning how to use the Settlement Client and find out about the structure of the Settlement Client's user interface and all elements used on the interface.	Users working with the Settlement Client for the first time. Users looking for an overview of GUI elements and how to use them.
Settlement	Settlement Instructions	Create, search, modify and cancel settlement instructtions	Users will learn how to create new instructions, search for instructions available in the system, and edit existing instructions.	Users whose task it is to work with instructions, create new instructions or handle existing instructions.
	Intra-Position Movements	Flag securities positions by using intra-position movements and search existing intra-position movements	Users will learn how to block, reserve or earmark positions on a securities account and how to search for intra-position movements already present in the system.	Users whose task it is to block, reserve or earmark specific positions on a securities account or who need to search for intra-position movements to be used in instructions.
	Physical Instructions *This function will be finalised at a later date*	Enter and modify physical deposits or withdrawals of securities	Users learn how to create and update instructions for the physical withdrawal or deposit of securities.	Users whose task it is to create or modify physical withdrawals or deposits in the Settlement Client.
	Allegements	Processing of allegement notifications for instructions	Users can search for allegements sent by counterparties and create their corresponding own instructtions.	Users whose task it is to search for allegements or to create instructions for received allegements.

	Chapter	Content	User Benefit	User Group
Holdings	Securities Positions	Overview of securities positions on a securities account or in a specific ISIN	Users see the securities positions on a securities account or in an ISIN.	Users who want to see the securities positions on a specific securities account or in a specific ISIN.
	Securities Posting Items	Overview of individual securities bookings	Users see the securities posting items for a selected period, either by securities account or by ISIN.	Users who want to see individual bookings in a specific ISIN or on a specific account.
	Cash Preview	Overview of the balances per cash account over a selected period	Users see the development of balances for individual cash accounts to plan ahead.	Users who want to see the positions on specific cash accounts.
Administration	Message Subscription	Definition of rules for receiving messages	Users can define which messages they want to receive, either by instructing party or by destination BIC.	User administrators
	Four Eyes Principle	Specification of actions requiring a dual control authorisation according to the four eyes principle	Users can select the actions that will have to be authorised by a second user.	User administrators
Billing	Billing *This function will be finalised at a later date*	Description of the billing module where current invoice data are available	Users see all fees charged by the OeKB CSD on digitally signed invoices in PDF format.	User controllers
Reporting	Reporting *This function will be finalised at a later date*	Reports and statistics	Users can generate reports and statistics.	User controllers
Glossary	Glossary	Overview of the terms used	Users can look up the most important terms used in the Settlement Client user interface and the user manual with a brief definition.	All users

2.2 Visual Cues in the Settlement Client User Manual

The user manual contains elements to emphasise information which is of particular importance to the user.

2.2.1 Tip Boxes

TIP	Tip boxes contain instructions on how to work more easily with the Settlement Client or point out anything that you must take care of when using a certain function.

2.2.2 Information Boxes

INFO	Information boxes contain explanations on how the Settlement Client works or background information.

2.2.3 Notes Boxes

NOTE	Notes boxes contain warnings about possible errors, indicate mandatory entries, or describe system limitations of the Settlement Client.

2.2.4 Step-by-Step Instructions

Step-by-step instructions guide you through the described procedure in the Settlement Client and lead to the desired result in individual steps. The steps are listed individually in the form of a numbered list:

How to proceed to get this result

Step by Step

1. Perform step 1.
2. You have the following options:
   a. For option a, proceed like this.
   b. For option b, proceed like this.
3. Perform step 3.

2.2.5 Typographic Conventions

The following table indicates how different types of information are displayed in the user documentation. These conventions facilitate reading and highlight information of particular importance.

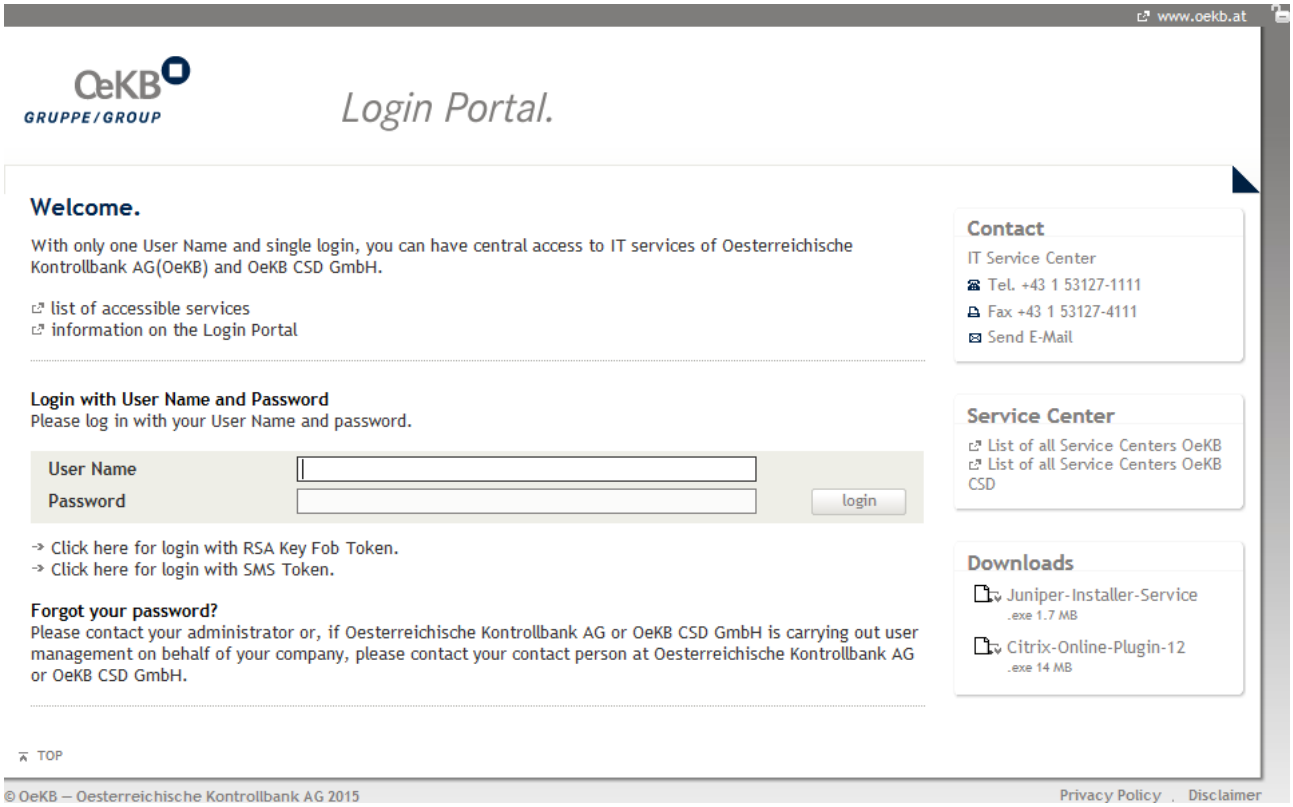
Type of Information	Representation
Menu paths	In italics starting at the main menu entry and using the symbol > between all menu items. Example: *Settlement* > *Create Settlement Instruction*.
Menu items	In italics; Example: the *Settlement* menu.
GUI elements	In boldface; Example: the **Save** button, the **Create Settlement Instruction** screen.
Cross references	Hyperlinks; Example: see chapter Settlement Instructions. When you are using the PDF version of the user manual, the links also function as hyperlinks.

3 The Settlement Client

The Settlement Client provides access to the Settlement Services of the OeKB CSD. The Settlement Client is used to enter and manage securities instructions. Additional functions are the display of securities positions and cash preview (holdings and preview), billing, reporting and administration.

3.1 Login

You log on to the OeKB CSD Services via the Web link https://login.oekb.at.


www.oekb.at
OeKB
GRUPPE/GROUP
Login Portal.
Welcome.
With only one User Name and single login, you can have central access to IT services of Oesterreichische Kontrollbank AG(OeKB) and OeKB CSD GmbH.
list of accessible services
information on the Login Portal
Login with User Name and Password
Please log in with your User Name and password.
User Name
Password
login
Click here for login with RSA Key Fob Token.
Click here for login with SMS Token.
Forgot your password?
Please contact your administrator or, if Oesterreichische Kontrollbank AG or OeKB CSD GmbH is carrying out user management on behalf of your company, please contact your contact person at Oesterreichische Kontrollbank AG or OeKB CSD GmbH.
TOP
Contact
IT Service Center
Tel. +43 1 53127-1111
Fax +43 1 53127-4111
Send E-Mail
Service Center
List of all Service Centers OeKB
List of all Service Centers OeKB CSD
Downloads
Juniper-Installer-Service .exe 1.7 MB
Citrix-Online-Plugin-12 .exe 14 MB
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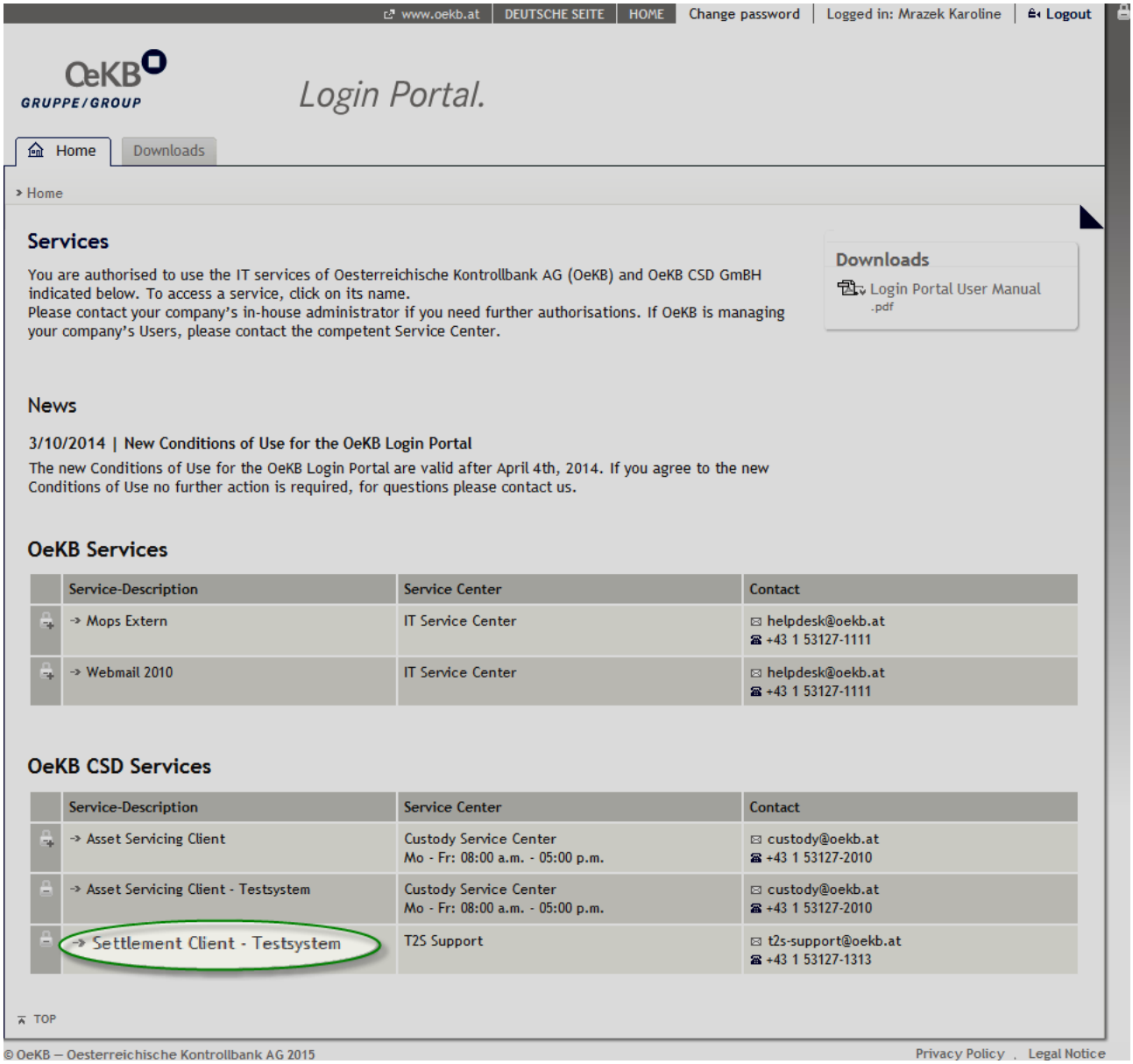
Disclaimer

Figure 1: Login Portal for Online Services of the OeKB Group

After login the Settlement Client is listed among the services activated for you. Click on the link to launch the Settlement Client. The Settlement Client will open in a separate window of your web browser.


www.oekb.at
DEUTSCHE SEITE
HOME
Change password
Logged in: Mrazek Karoline
Logout
GRUPPE/GROUP
Login Portal.
Home
Downloads
Home
Services
You are authorised to use the IT services of Oesterreichische Kontrollbank AG (OeKB) and OeKB CSD GmbH indicated below. To access a service, click on its name.
Please contact your company's in-house administrator if you need further authorisations. If OeKB is managing your company's Users, please contact the competent Service Center.
Downloads
Login Portal User Manual .pdf
News
3/10/2014 | New Conditions of Use for the OeKB Login Portal
The new Conditions of Use for the OeKB Login Portal are valid after April 4th, 2014. If you agree to the new Conditions of Use no further action is required, for questions please contact us.
OeKB Services
Service-Description
Service Center
Contact
-> Mops Extern
IT Service Center
helpdesk@oekb.at
+43 1 53127-1111
-> Webmail 2010
IT Service Center
helpdesk@oekb.at
+43 1 53127-1111
OeKB CSD Services
Service-Description
Service Center
Contact
-> Asset Servicing Client
Custody Service Center
Mo - Fr: 08:00 a.m. - 05:00 p.m.
custody@oekb.at
+43 1 53127-2010
-> Asset Servicing Client - Testsystem
Custody Service Center
Mo - Fr: 08:00 a.m. - 05:00 p.m.
custody@oekb.at
+43 1 53127-2010
-> Settlement Client - Testsystem
T2S Support
t2s-support@oekb.at
+43 1 53127-1313
TOP
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Legal Notice

Figure 2: List of Services available in the Login Portal of the OeKB Group

INFO	The Settlement Client is optimised for Internet Explorer and Mozilla Firefox in their latest versions. It is not recommended to use other browsers.

3.2 Logout

To log out from the Settlement Client simply close the browser window. This logs off your user and terminates your user session.

3.3 Fields, Buttons and Icons

INFO Mandatory fields are marked with the * character in the Settlement Client. They must be filled with data before the record can be saved. All fields in the following table may be mandatory fields.

TIP For details on the matching process, such as e.g. mandatory, additional and optional matching fields or matching tolerances, please refer to the *Settlement Services - Functional Guide*.

Element	Usage	Function
Fields		
Input field, active field	All screens	Input fields are active fields which you can fill with data. Depending on the field type, they allow the input of text, numbers, dates or times
Display field, disabled field	All screens	Display fields are disabled for input. They are displayed with a grey background. You cannot enter data into a display field.
Number field 0	All screens	Only the following characters are allowed in number fields: ▪ The figures 0 to 9 ▪ Dots as thousands separators ▪ One comma per field as decimal comma **NOTE** When entering numbers, please note that the number format used in the Settlement Client is the German notation of numbers. i.e. a full stop (.) is used as the thousands separator and a comma (,) is used as the decimal point. You have the option to enter amounts unformatted without a thousands separator, or formatted with a thousands separator. The system validates the field entries (e.g. when you proceed to the next step in a **Create** screen) and adds any thousands separators. Depending on the field the figure is either displayed with or without decimal places.
ISIN field AT0000720008	All screens	In ISIN fields, you can enter the 12-digit International Securities Identification Number: e.g. AT0000720008 There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.
Date field 08.09.2014	All screens	Only the following characters are allowed in date fields: ▪ The figures 0 to 9 ▪ Dots as separators between day, month, and year The entry is restricted to 8 numbers and 2 dot characters. You may enter single-digit days and months without the leading zero and only the last two digits of the year. A dot is required as a separator between day, month and year. The date is always displayed in the format DD.MM.YYYY.

Element	Usage	Function
Drop-down field please select ...	All screens	Drop-down fields contain predefined entries from which you can select one option. Click on the arrow button on the right side of the field or click into the field to display the options. You cannot enter data into a drop-down field.
Buttons		
Check box	Holdings and Administration screens	A check box is used to activate or deactivate a function. Check boxes do not allow the entry of any characters. The text adjacent to the check box indicates the function that can be selected with the corresponding check box. A tick in a check box indicates that a function is activated.
abort	Edit screens and details views	Clicking on this button discards changes which have been rejected during 4-eyes-principle authorisation by another user or by T2S and resets the instruction or the intra-position movement to the status before the changes were made. **INFO** This button is also displayed in the **Edit** screens and detail views of newly created but rejected instructions and intra-position movements..
add	Create, Edit and Review screens, hidden section, detail views	Clicking on this button opens a pop-up dialog where you may enter additional data, e.g. linkages for an instruction.
add >	Masks/mask sections which allow multiple selections	Clicking on this button moves the selected entry from the left to the right field. The entries in the right field will then be used for performing the corresponding action.
approve	Review masks	Clicking on this button releases the entry. It is submitted to the system for processing.
back	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	Clicking on this button takes you back to the previous, completed, step of the screen. See also , below.
cancel	Pop-up dialogs, Message Subscription Rule screen	Clicking on this button terminates your entering data in the pop-up dialog. The dialog is closed without confirming or saving any data entered.
close	Pop-up dialogs without input options	Clicking on this button closes the pop-up dialog.

Element	Usage	Function
delete	Detail views	Clicking on this button deletes the record displayed in the detail view currently opened. This button is only available in detail views if your user permissions allow you to modify records.
download as Excel	Search result lists, detail views, and Settlement Instruction Summary	Clicking on this button downloads the data in Microsoft Excel format. You can choose the download location in an intermediate step.
download as Pdf	Search result lists, detail views, and Settlement Instruction Summary	Clicking on this button downloads the data in PDF format. You can choose the download location in an intermediate step.
edit	Detail views	Clicking on this button opens the **Edit** screen, where you can modify the record. This button is only available in detail views if your user permissions allow you to modify records.
Excel Download	Search result lists, Edit screens and details views	Clicking on this button downloads the data in Microsoft Excel format. You can choose the download location in an intermediate step.
hide update	Review screens, Edit screens and details views	Clicking onthis button displays the original record as it was before the modifycation (to be released). The show update button is displayed instead (see below).
next	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	Clicking on this button takes you to the next step of the screen. See also , below.
no	Pop-up dialogs for confirmation of deletions	Clicking on this button closes the pop-up dialog without confirming or saving the modified data.
ok	Settlement Instruction Summary, pop-up dialogs, Message Subscription Rule screen	Clicking on this button confirms your entries and closes the current screen.
PDF Download	Search result lists, Edit screens and details views	Clicking on this button downloads the data in PDF format. You can choose the download location in an intermediate step.

Element	Usage	Function
refresh	Settlement Instruction Summary, Review screens, Edit screens and details views	Clicking on this button refreshes the screen and new real-time data are displayed (e. g. MITI, Processing Status, Reason Code, etc.).
reject	Review masks	Clicking on this button prevents the record to be released for settlement.
< remove	Masks/mask sections which allow multiple selections	Clicking on this button moves the selected entry from the right to the left field. Only entries in the right field will be used for performing the corresponding action.
reset	Edit screens	Clicking on this button resets the content of all modified fields to its original values.
save	Create, Edit and Review screens	Clicking on this button saves your entries.
search	Search screens	Clicking on this button launches the search using the search criteria you have entered.
show update	Review screens, Edit screens and details views	Clicking on this button shows the updates (to be released), which have been performed on this record. The hide update button is displayed instead (see above).
yes	Pop-up dialogs for confirmation of deletions	Clicking on this button closes the pop-up dialog and confirms and saves the data modification.
Icons		
	All screens	Clicking on this icon opens the calendar. In the calendar you can select a date, which will automatically be copied into the corresponding field of the input screen.
	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	This icon in the header and footer of **Create** and **Edit** screens indicates the current step to enter data.
	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	This icon in the header and footer of **Create** and **Edit** screens indicates a completed step where all mandatory data have been entered and validated to be submitted to the system.

Element	Usage	Function
	Create Settlement Instruction screen (also in its representation as Edit screen and detail view)	This icon in the header and footer of **Create** and **Edit** screens indicates a step where no data have yet been entered.
	Create, Edit and Review screens, detail views	Hover the mouse pointer over this icon to have additional information displayed **Securities Account** ▪ Account Category (shows existing constraints) ▪ Default Account (yes/no) ▪ Partial Settlement (yes/no) ▪ Auto Receive (yes/no) **ISIN** ▪ Name (designation of the financial instrument) ▪ Minimum Denomination (of the financial instrument) ▪ Minimum multiple Quantity (of the financial instrument) ▪ Depository (current safekeeping location of the financial instrument) ▪ Active (yes/no)
	Create Settlement Instruction screen, step 2, Settlement Parties	This icon indicates that you have the option to enter additional data, e.g. more counterparties. Clicking on this icon opens a hidden screen section, where you can enter additional data in the new fields. You can close these hidden screen sections by clicking on the **X** icon on the upper right. This will delete all additional data entered in the hidden section.
	Message Subscription Rule screen	This icon indicates that you can specify which reason codes must be given in the selected Transaction Status Advice messages you like to receive. Clicking on this icon opens a pop-up dialog where you can activate or deactivate the reason codes accordingly.
	All screens	This icon indicates a drop-down screen section, where you can enter more information. Clicking on this icon opens the drop-down screen section. The icon is displayed instead (see below).
	All screens	This icon indicates a dropped down screen section, where you can enter more information. Clicking on this icon hides the screen section. Only the icon (see above) and the name of the screen section remain visible.
	All screens	Clicking on this icon closes a previously added hidden screen section. All data entered will be deleted and the screen section will no longer be visible.
	Lists	Clicking on this icon deletes the row from the list and the data displayed in this row.

Element	Usage	Function
	All screens	Clicking on this icon reduces the size of the Settlement Client on your computer screen.
	All screens	Clicking on this icon sets the size of the Settlement Client on your computer screen to its default size.
	All screens	Clicking on this icon increases the size of the Settlement Client on your computer screen.
	Search result lists	This icon indicates that no sort order has been specified for this list column. Clicking on this icon changes the sort order to (ascending).
	Search result lists	This icon indicates that the data in this column are sorted ascending (A-Z, 0-9). Clicking on this icon changes the sort order to (descending). To remove a column's sort order, set the sort order for a different column.
	Search result lists	This icon indicates that the data in this column are sorted descending (Z-A, 9-0). Clicking on this icon changes the sort order to (ascending). To remove a column's sort order, set the sort order for a different column.
	Search result lists	Clicking on this icon opens the detail view of the record in this row.
	Search result lists	Clicking on this icon opens the **Review** screen of the record in this row. In the **Review** screen, you can approve or reject the task.
	Search result lists	Clicking on this icon opens the **Edit** screen of the record in this row.
	Entry page - Securities Accounts list	Clicking on this icon shows the processing options available for the securities account in the respective row.
	Search screens	Clicking on this icon opens an additional screen section with check boxes, e.g. to select message types.
	Search result lists (top left of list)	Clicking on this icon extends the search result list to show all columns available for the current type of record.
	Allegements search result list	Clicking on this icon opens the **Create Settlement Instruction** screen, where a counter instruction is automatically generated for the selected allegement.

Function Links

	Edit screens and details views	This icon indicates a link which you can use to return to the previously displayed search result list.
	All screens	This icon at the bottom of screens indicates a link which takes you back to the top of the page.

3.4 The Entry Page (Home)

The entry page of the Settlement Client shows the menu bar of the Settlement Client with all available functions, the Securities Accounts list including the actions available for the securities account, the Task Box showing instructions waiting for approval, open tasks and recent instruction alerts, and the telephone and fax numbers, as well as the email address where you can reach our service centre in charge.

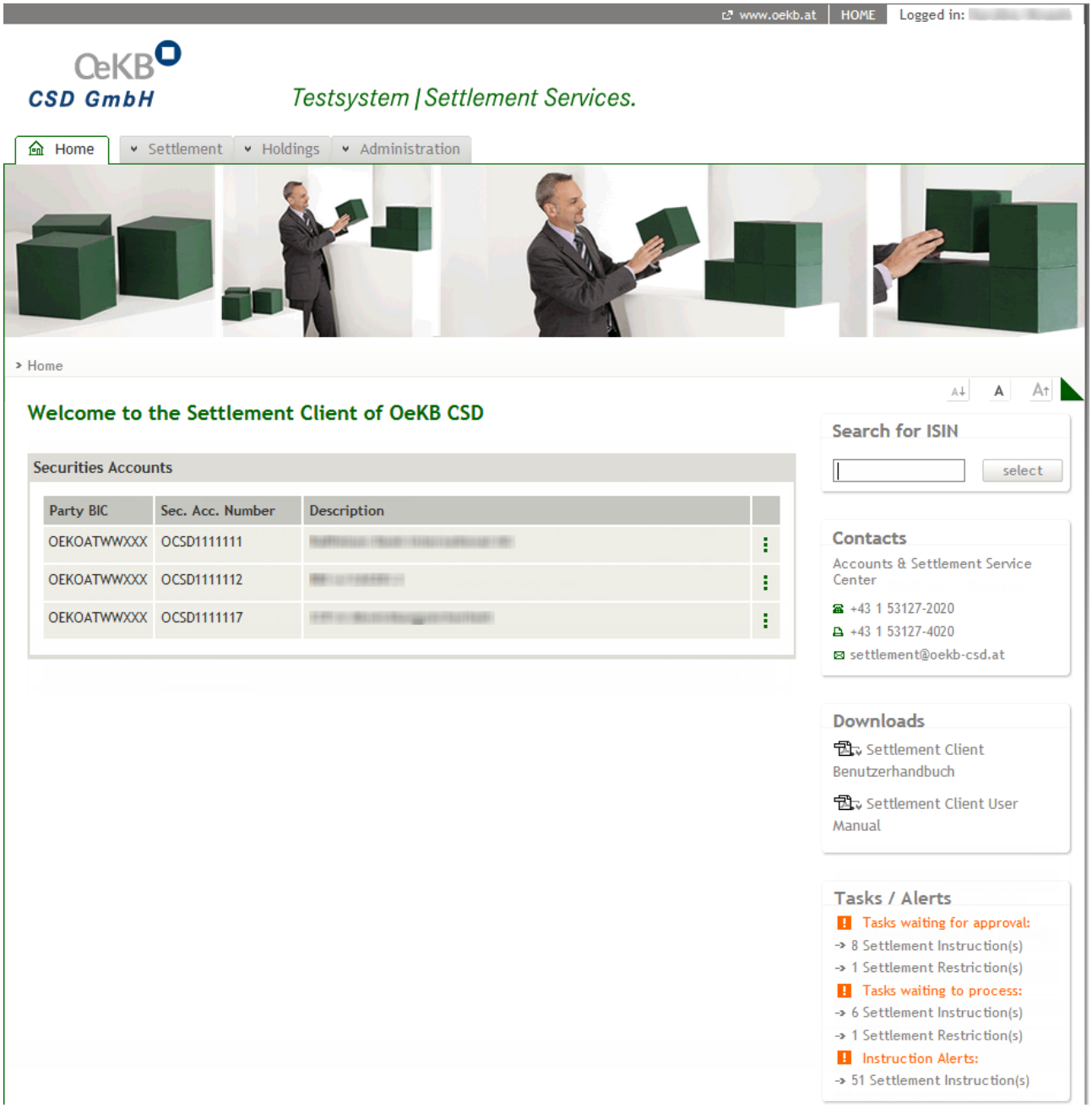


Figure 3: Entry page (Home) of the Settlement Client

3.4.1 The Menu Bar

Figure 4: Menu bar of the Settlement Client

The menu bar shows all functions available to you when you are logged in as a user. Depending on your user permissions, some of the menu items shown below may be missing in your version of the client.

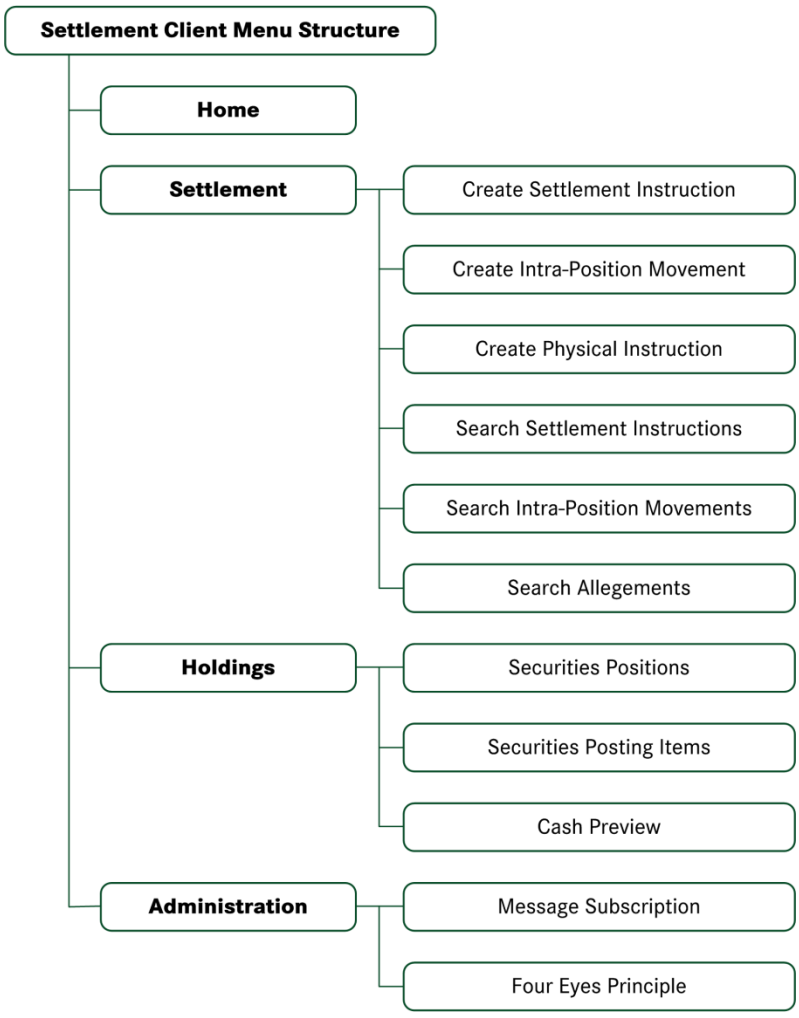


Figure 5: Menu structure of the Settlement Client

3.4.2 Securities Accounts List

The Securities Accounts list shows all available securities accounts and their securities account numbers and names. A pop-up menu lists all actions available for the securities account in the respective row.

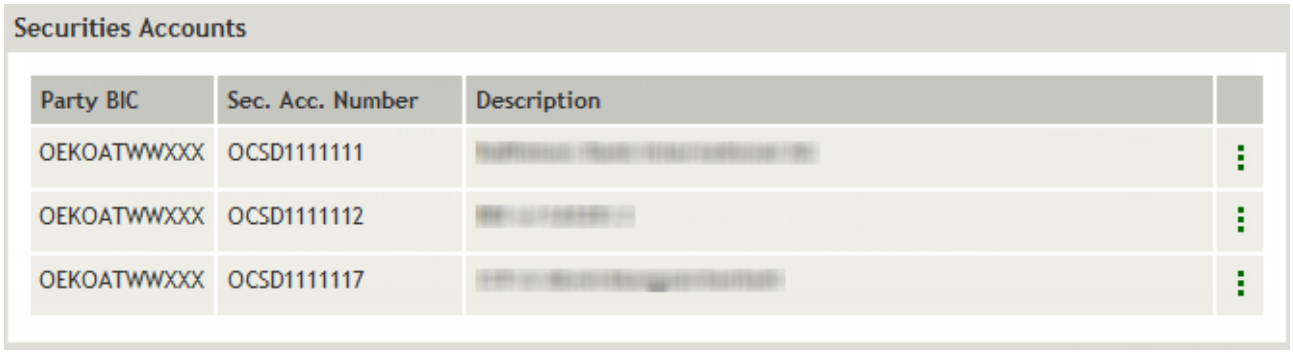


Figure 6: Securities Accounts list (Home - Securities Accounts)

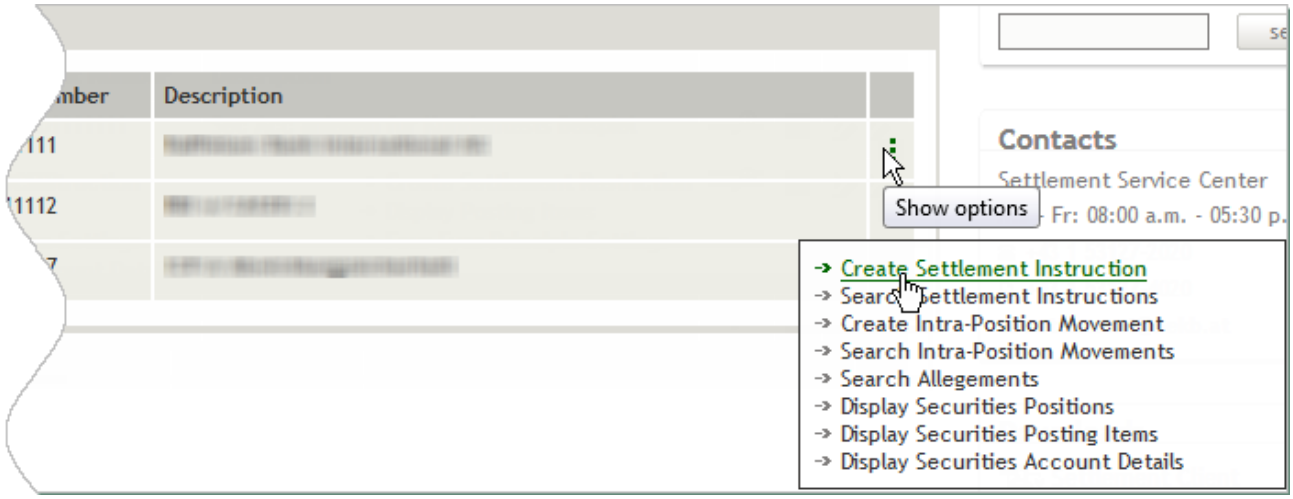


Figure 7: Securities Accounts list processing options (Home - Securities Accounts)

3.4.2.1 Icons Used in the Securities Accounts List

Icon	Function
⋮	Clicking on this icon shows the processing options available for the securities account in the respective row.

3.4.2.2 Actions in the Securities Accounts List

The Securities Accounts list shows all functions available to you for each of the securities accounts listed in the Securities Accounts list. Depending on your user permissions, some of the actions shown below may be missing in your version of the client.

- Create Settlement Instruction, see page 37
- Search Settlement Instructions, see page 72
- Create Intra-Position Movement, see page 92
- Search Intra-Position Movements, see page 103
- Search Allegements, see page 120
- Display Securities Positions, see page 128
- Display Securities Posting Items, see page 132
- Display Securities Account Details, see below

3.4.2.3 Securities AccountDetails

You can use the icon ⋮ in the line of each securities account listed in the Securities Accounts overview of the entry page to open the detail view of the respective securities account, which includes the display of all cash accounts defined for the securities account.

TIP	The Securities Account Details display the securities account type, any blockings active for the securities account and whether it is the default securities account for the settlement of securities transactions. In addition, it displays all cash accounts which have been defined for the securities account.

How to open the Securities Account Details

Step by Step

1. In the Securities Accounts overview of the entry page **Home**, click on the ⋮ icon.
   A pop-up showing the available processing options appears.
2. Select the option **Display Securities Account Details**.
   The **Securities Account Details** screen appears.

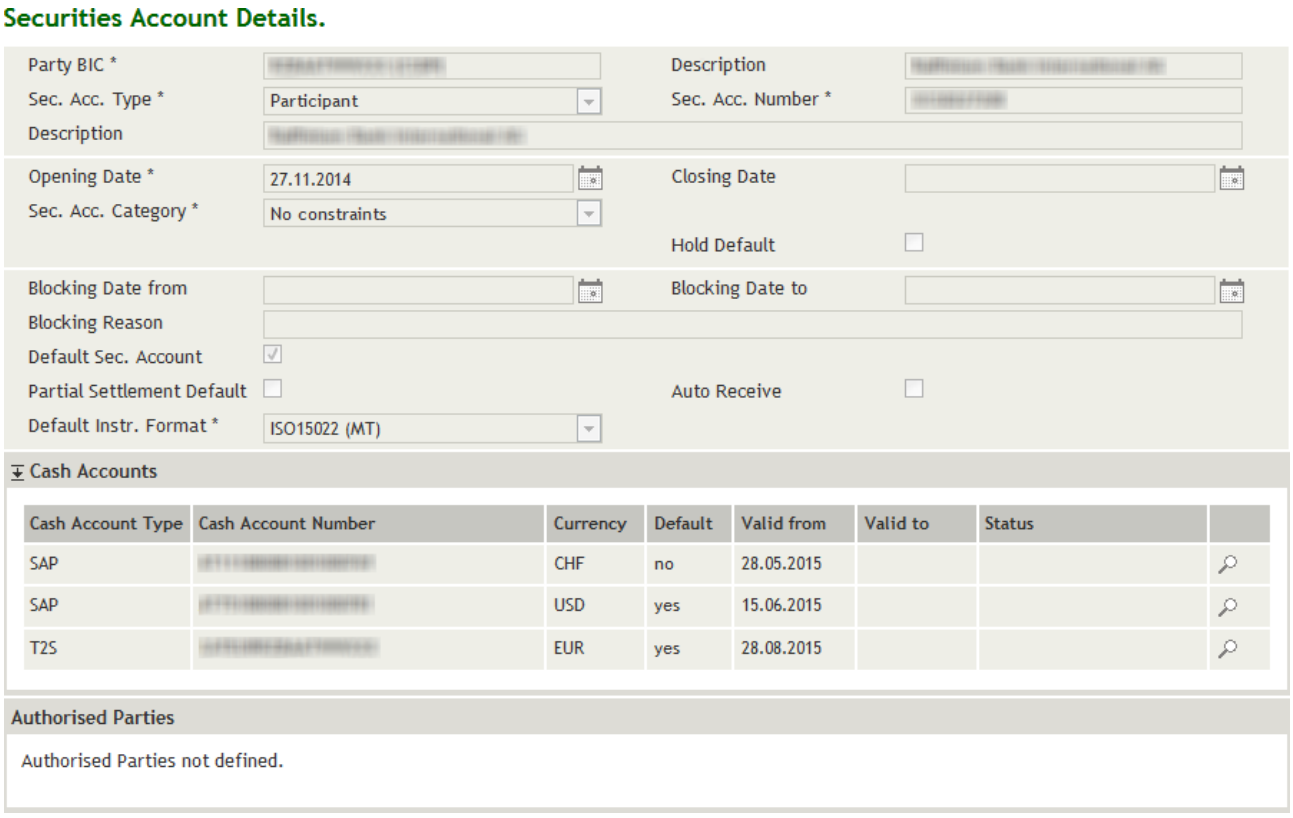


Figure 8: Securities Account Details (securities account detail view)

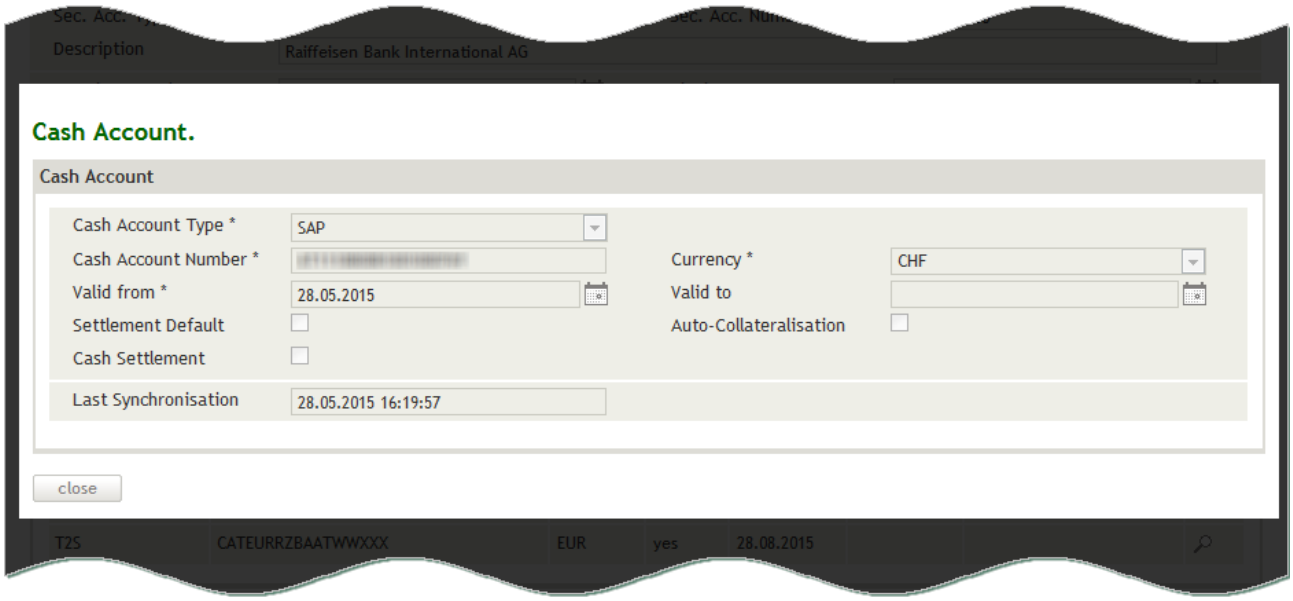


Figure 9: Cash Account (securities account detail view)

3.4.2.4 Field Descriptions (Securities Account Details)

Field	Content (by system)
Party BIC	BIC of the securities account holder
[Party BIC] Description	The designation of the securities account holder
Sec. Acc. Type	Possible securities account types: ▪ **Participant** - securities account of a participant of OeKB CSD
Sec. Acc. Number	The complete securities account number, starting with OCSD
[Securities Account] Description	Designation of the securities account **INFO** This name is automatically displayed in the corresponding **Description** field in the screens of the Settlement Clients after this securities account's number has been selected in the associated field **Securities Account**.
Opening Date	The day starting at which the securities account will be/has become active
Closing Date	The day starting at which the securities account will be/has become inactive
Sec. Acc. Category	Possible securities account categories: ▪ **No constraints** - securities account without constraints ▪ **Technically blocked** - the securities account is technically blocked and units held on this securities account cannot be accessed, e. g. during certain corporate actions. ▪ **Receives blocked** - the securities account is blocked for receipt instructions ▪ **Deliveries blocked** - the securities account is blocked for delivery instructions ▪ **Deliveries and Receives blocked** - the securities account is blocked for delivery and receipt instructions ▪ **Blocked Special Holding Type** - the securities account is blocked, because it is used for holding positions in Individual Custody
Hold Default	If the check box is ticked, the **Party Hold Status** will be automatically set to **Hold** if settlement instructions are created for this securities account.
Blocking Date from	The day starting at which a block will be/has become active for the securities account
Blocking Date to	The last day a block will be/has been active for the securities account
Blocking Reason	Reason of the block valid between the dates specified in the **Blocking Date** fields
Default Sec. Account	If the check box is ticked, the securities account is used as the default securities account. As soon as e.g. an instruction is created the system automatically displays this securities account number in the **Securities Account** field of the screen

Field	Content (by system)
Partial Settlement Default	If the check box is ticked, partial settlement is allowed for all instructions on this securities account. The **Partial Settlement Ind.** field will automatically display the option **Partial allowed** if an instruction is created for this securities account.
Auto Receive	If the check box is ticket, a receive instruction will be automatically generated for received DPF allegements, unless the instruction involves an external depository.
Default Instr. Format	Possible formats: ▪ ISO 15022 (MT) ▪ ISO 20022 (MX)

Cash Accounts

see Field Descriptions Cash Accounts

Authorised Parties

These fields are only displayed if other parties have been granted access to the selected securities account.

3.4.2.5 Field Descriptions Cash Accounts (Securities Account Details)

Field	Content (by system)
Cash Account Type	Possible cash account types: ▪ **SAP** - for multicurrency settlement ▪ **T2S** - for Euro settlement
Cash Account Number	Number of the cash account: ▪ IBAN - for SAP accounts ▪ DCA account number - for T2S accounts
Currency	Possible entries: **CHF**, **EUR**, **GBP**, **USD, RUB**
Valid from	The day starting at which the cash account will be/has become active
Valid to	The day starting at which the cash account will be/has become inactive
Settlement Default	If the check box is ticked, the cash account is used as the default cash account. As soon as e.g. an instruction is created the system automatically displays this cash account number in the **Cash Account** field of the screen if the corresponding securities account has been seleted.
Auto-Collateralisation	If the check box is ticked, the corresponding T2S account will be used for auto-collateralisation.
Cash Settlement	If the check box is ticked, this cash account will be used for payments/cash settlement.

3.4.3 Search for ISIN

On the top right of the entry page **Home** a quick ISIN search is available. The result of this search is a display of the securities data stored in the system for the corresponding ISIN and of any restrictions currently active. You will also see details about the minimum denomination and the minimum multiple quantity of the financial instrument.

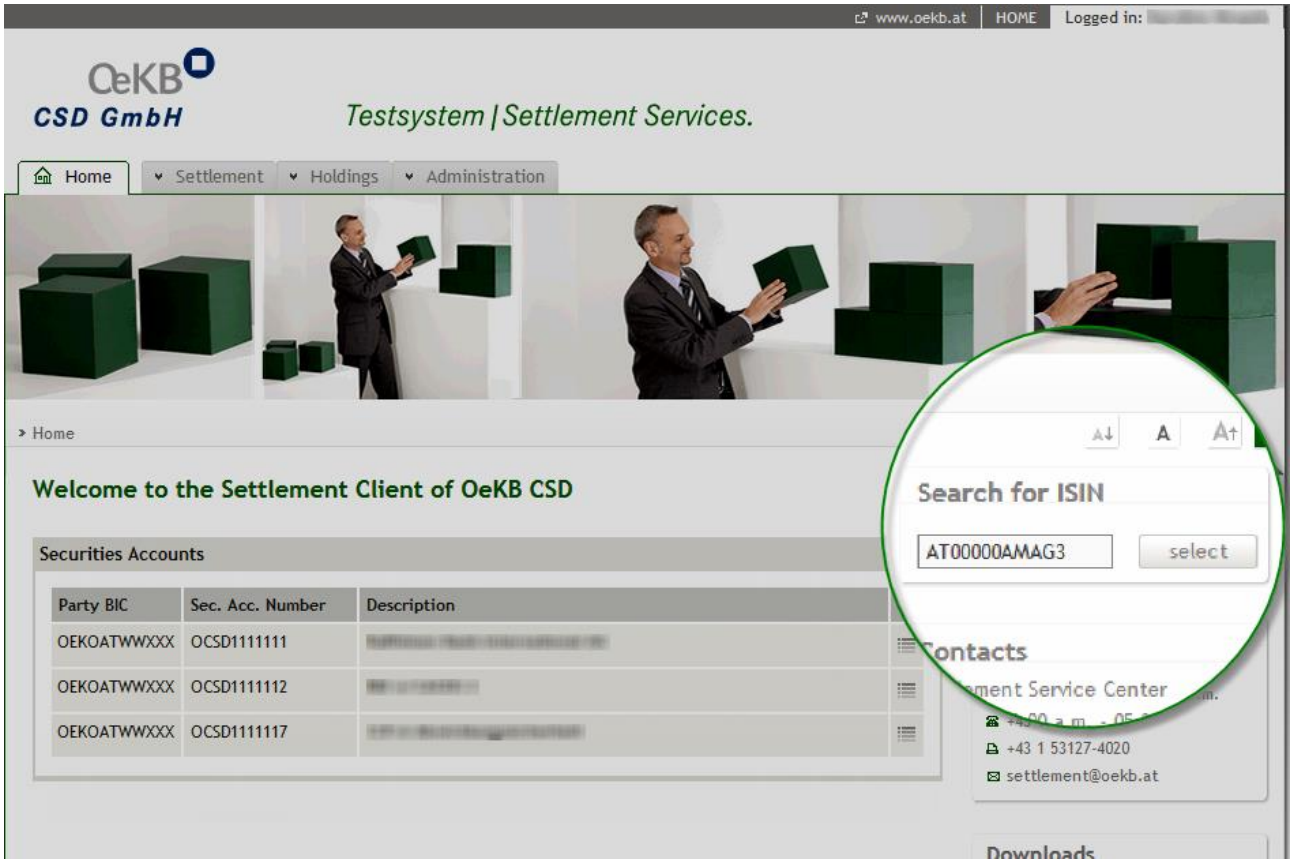


Figure 10: Search for ISIN (Home)

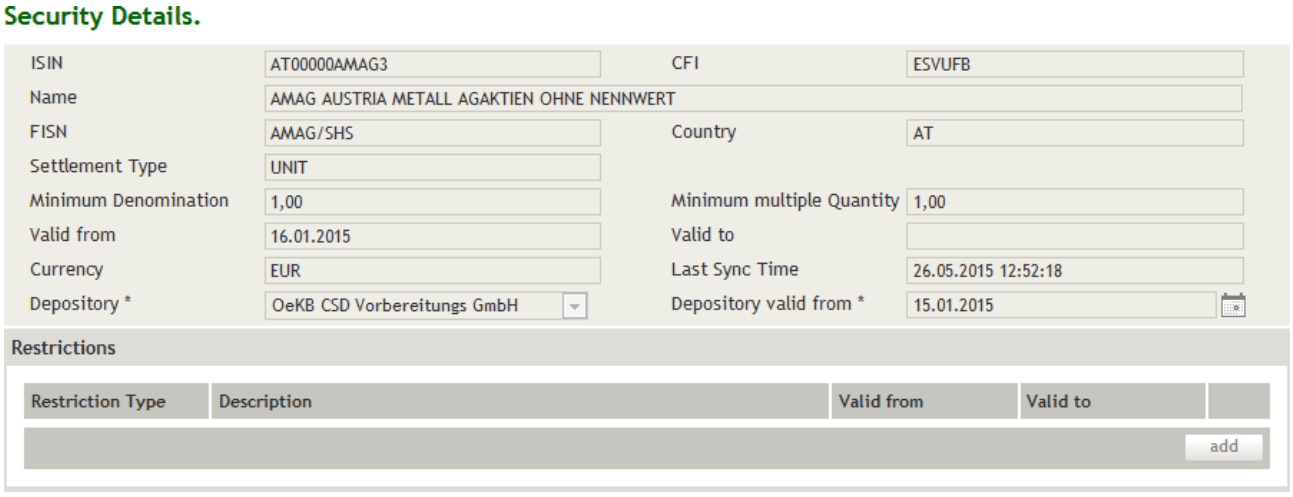


Figure 11: Search for ISIN - Securities Details

3.4.4 The Task Box

On the entry page, the task box shows tasks which need to be authorised by two persons according to the four eyes principle, open tasks, and instruction alerts for instructions with status Hold or Pending.

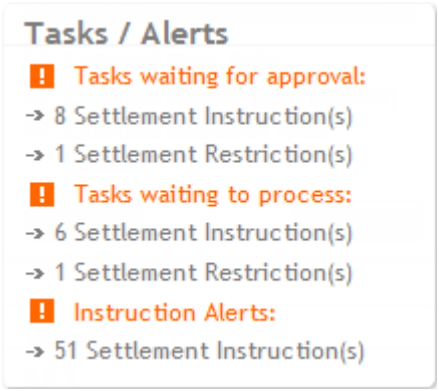


Figure 12: task box

3.4.4.1 Working With the Task Box

The task box shows the following entries:

- Tasks waiting for approval (tasks waiting for release by a second set of eyes)
- Tasks waiting to process (open tasks)
- Instruction Alerts (alerts for instructions with status Hold or Pending)

INFO	The task box only displays tasks which actually exists. If there are currently neither tasks nor alerts, the task box will only display its header "Tasks / Alerts".

The task summaries are active links, which will open the respective task lists if you click on them. The task lists are actually search results lists where the corresponding search criteria have been automatically applied.

- Tasks waiting for approval - search criterion **Task Type** "User Approval Task"
- Tasks waiting to process - search criterion **Task Type** "User Processing Task"
- Instruction Alerts - Pending Reason Codes "CLAC", "CMON", "LACK", "MONY"

TIP	If necessary, add more search criteria in the search screen above the search result list to limit the number of the results displayed in the task list. For more information about the search functionality and the search result lists, please refer to chapter Search Functionality and Search Result Lists.

3.4.4.2 Authorisation of Tasks According to the 4-Eyes Principle (Tasks waiting for approval)

You can use the task box links below **Tasks waiting for approval** to open the corresponding search result list where you can approve or reject tasks if you have the user permission to authorise instructions or intra-position movements.

INFO	In the **Tasks waiting for approval** section the task box shows the number of previously entered records which require approval according to the 4-eyes principle, i.e. records with status **awaiting approval**.

TIP	The functionality to authorise tasks is only available for tasks you have neither entered nor edited.

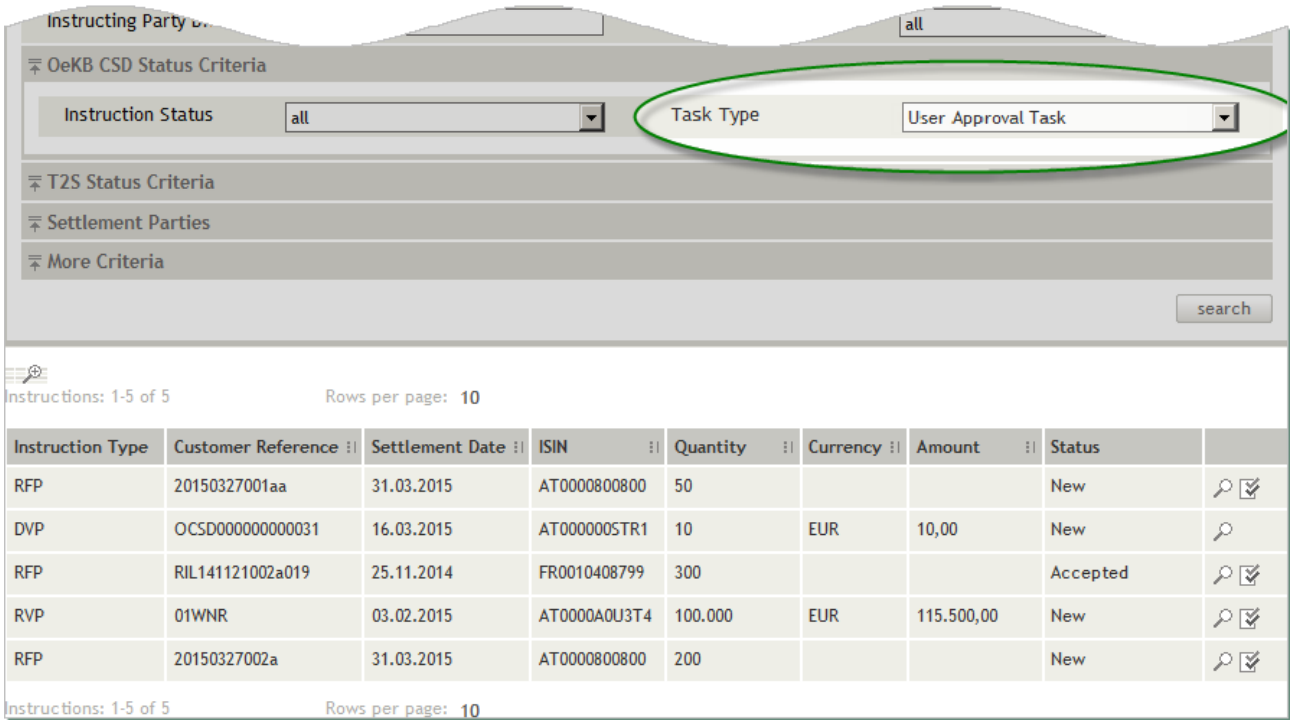


Figure 13: Authorization of Instructions According to the 4-Eyes Principle (example: instructions)

How to Approve or Reject Tasks in the Search Result List

Step by Step

1 In the row of the record you want to release, click on the **Review** icon to open the **Review** screen.

2 You have the following options:

- **a** To authorise the record, click **approve**.
  The record has been released and will be submitted for further processing.
  The task is no longer displayed in the task box.
- **b** To decline authorisation of the record, click **reject**.
  The record will be added to the entries **Tasks waiting to process** in the Taskbox and will appear in the search result list showing the status **approval rejected**.

3 Click **ok** to return to the search result list.

3.4.4.3 Processing of Open Tasks (Tasks waiting to process)

You can use the task box links below **Tasks waiting to process** to open the corresponding search result list showing instructions or intra-position movements which have not been processes completely. There are several reasons why instructions may be open:

- The record has been rejected during authorisation according to the 4-eyes principle
- The record has been rejected by the system

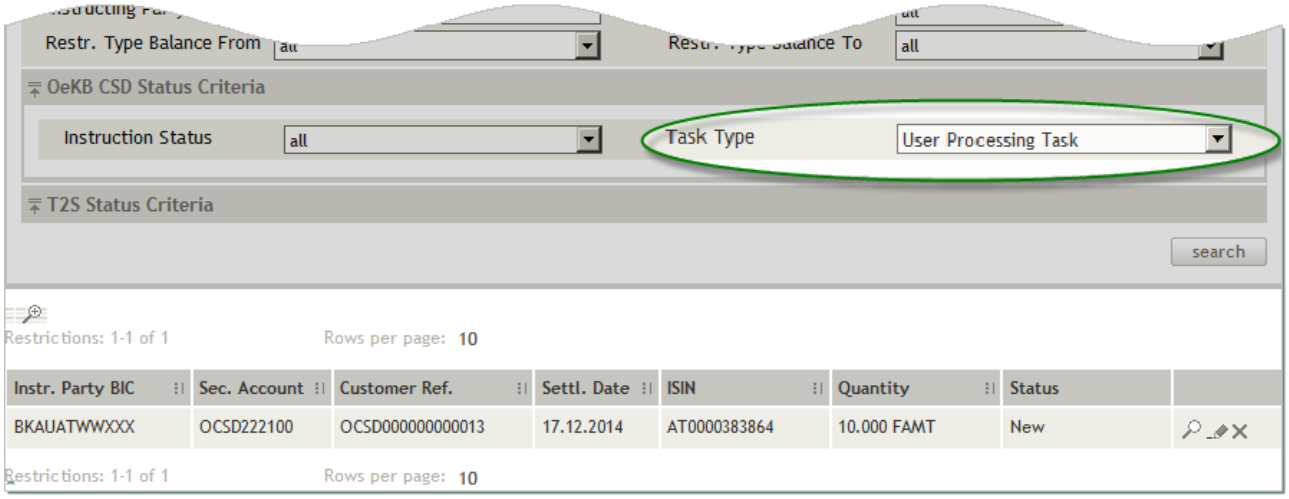


Figure 14: Processing of open tasks (example: intra-position movements)

Status	Description
approval rejected	The release of the instruction or intra-position movement has been rejected during authorisation according to the 4-eyes principle.
rejected	The instruction or intra-position movement has been rejected by the system.
failed	Processing of the instruction or intra-position movement in the system has not been successful.

How to Process Open Tasks in the Search Result List

Step by Step

1 You have the following options:

a In the row of the record you want to modify, click on the **Details** icon to open the detail view.
You have the following options:

> **NOTE** Not all button listed below may be available in all detail views.

aa Click on **hide update** to display the record without the modifications made.
The record is displayed as it was before the modifications.

ab Click on **refresh** to display new real-time data received in the system.

ac Click on **abort** to discard changes which have been rejected during 4-eyes-principle authorisation by another user or by T2S and to reset the instruction or the intra-position movement to the status before the changes were made.

ad Click **edit** to open the **Edit** screen of the record. (see b1 ff)

> **INFO** The system only displays the **edit** button if your user permissions allow you to modify data.

af Click on **PDF Download** to display and maybe save the record in PDF format.

b1 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

> **INFO** The system only displays the **Edit** icon if your user permissions allow you to modify data.

b2 Modify the record as required.

b3 Click **save** to save your changes.
The changes are saved and submitted to the system for processing or for 4EP authorisation.

> **INFO** If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box.

b4 Click **ok** to return to the search result list.

c In the row containing the record to be cancelled, click on the **X** icon. The record will be deleted and will no longer be displayed in the search result list.

3.4.4.4 Instruction Alerts

You can use the task box link below **Instruction Alerts** to open the search result list showing current notifications (Instruction Alerts) for instructions with status Hold or Pending.

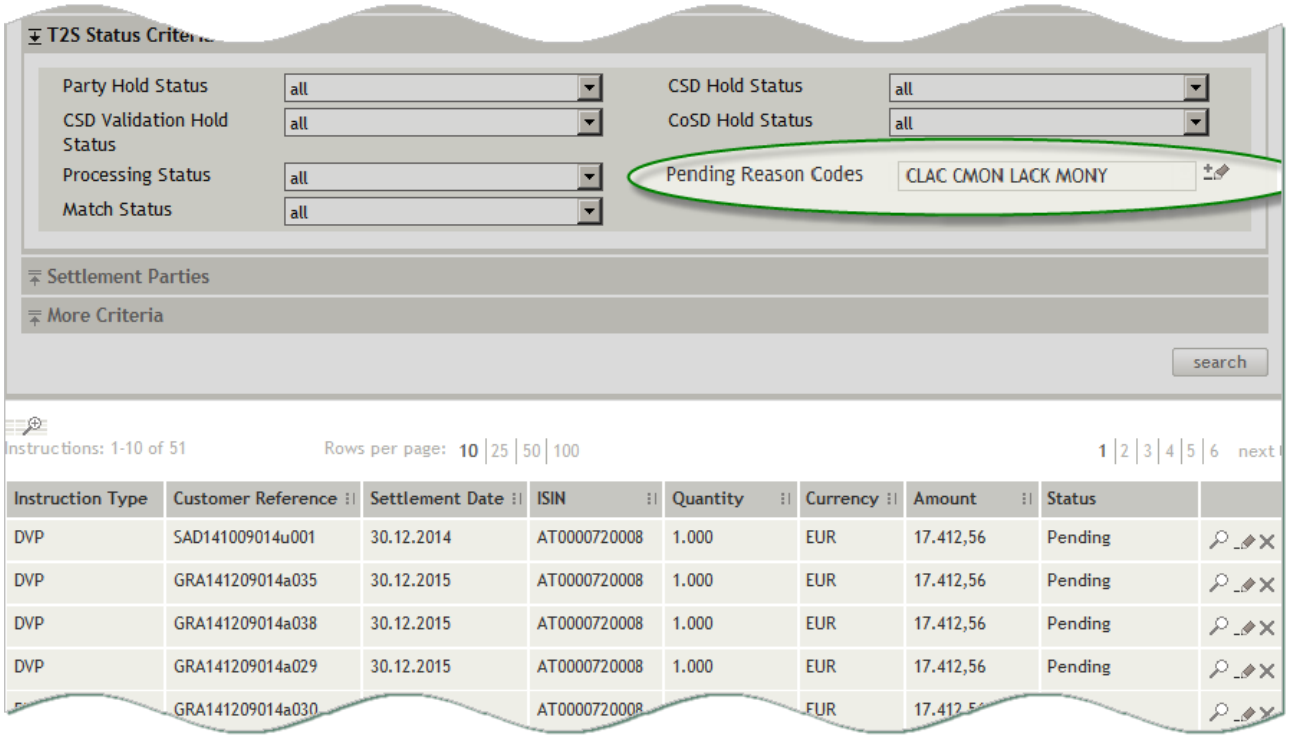


Figure 15: Current alerts to instructions in the search result list (Instruction Alerts)

Alert Reason	Description
Party Hold	The instruction was set to status Hold, because e.g. the external part of settlement of the transaction had not been completed or because the instruction had been sent as a preadvice.

How to Process Instructions with Status Hold or Pending

Step by Step

1 You have the following options:

a In the row of the record you want to modify, click on the **Details** icon to open the detail view.
You have the following options:

> **NOTE** Not all button listed below may be available in all detail views.

aa Click on **refresh** to display new real-time data received in the system.

ab Click **edit** to open the **Edit** screen of the record. (see b1 ff)

INFO	The system only displays the **edit** button if your user permissions allow you to modify data.

ac Click on **PDF Download** to display and maybe save the record in PDF format.

b1 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

b2 Edit the entries which caused the status to be **Hold** or **Pending** or take other actions to enable the instruction or restriction to be processed (e. g. necessary coverage on the cash account, external cash settlement, linked instructions or restrictions with status Pending in the same pool, etc.).

b3 Click **save** to save your changes.
The changes are saved and submitted to the system for processing or for 4EP authorisation.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box.

b4 Click **ok** to return to the search result list.

c In the row containing the record to be cancelled, click on the **X** icon. The record will be deleted and will no longer be displayed in the search result list.

3.5 Search Functionality and Search Result Lists

To start searching data use the search button in the search screens (see Fields, Buttons and Icons, button "search"). The system then displays all available data below the search screen in the form of a search result list. The search result list offers the following functions:

- Number of search results currently displayed and total number of search results (x-x of xxx)
- Number of search results displayed per page (choice between 10, 25, 50, and 100)

INFO	The options available to select the number of search results displayed per page depend on the total number of search results.

- Number of pages containing search results (considering the option selected for search results per page)
- Extended list view (extended search results) with additional columns containing more details of the record

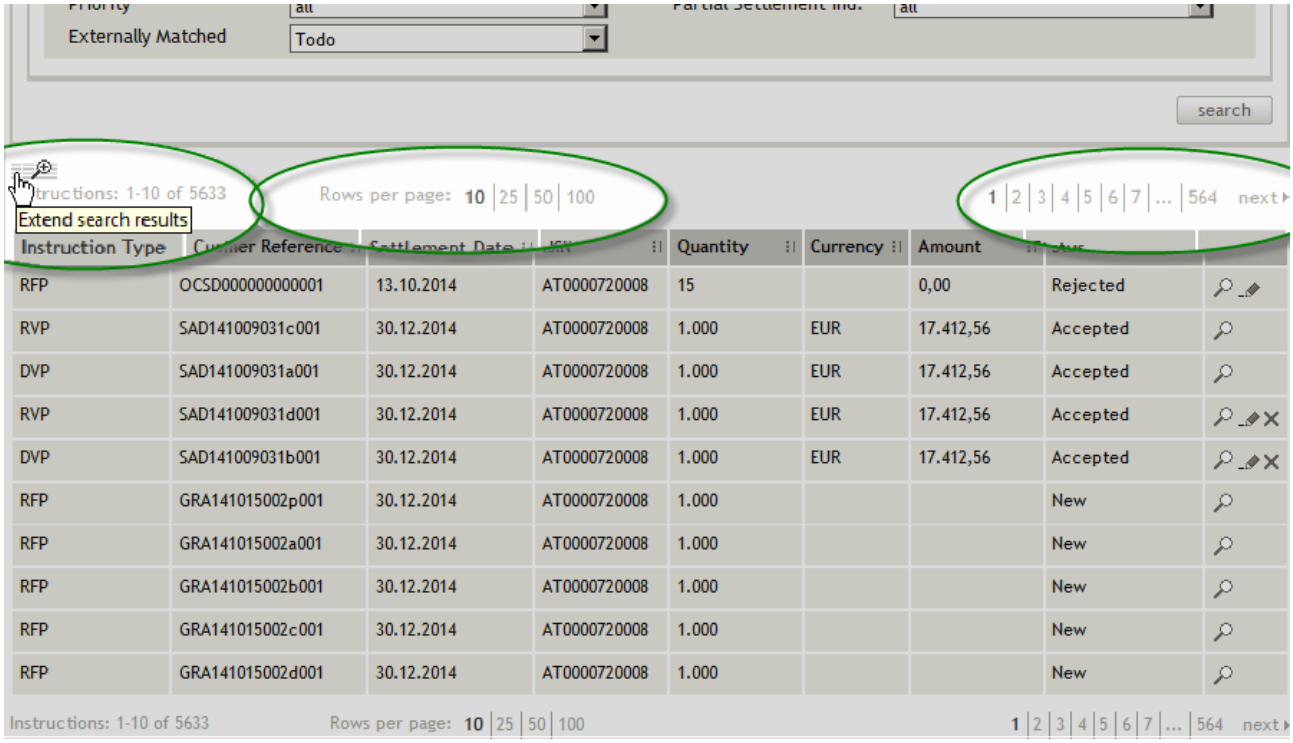


Figure 16: Search result list (example: Search Settlement Instructions)

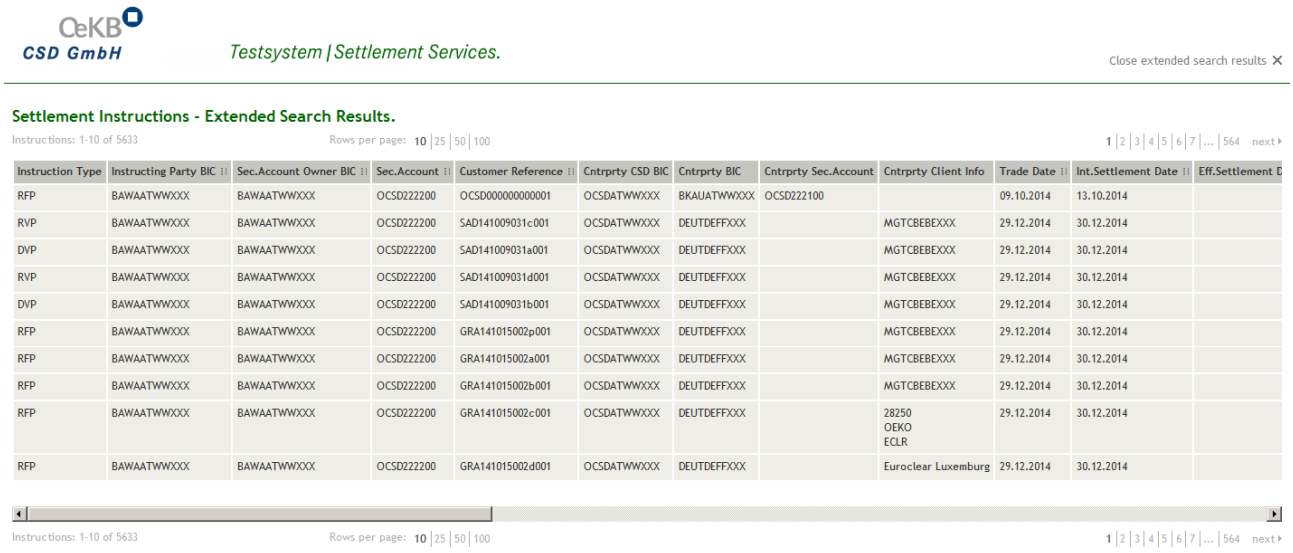

OeKB CSD GmbH
Testsystem | Settlement Services.
Close extended search results
Settlement Instructions - Extended Search Results.
Instructions: 1-10 of 5633
Rows per page: 10 | 25 | 50 | 100
Instruction Type | Instructing Party BIC | Sec.Account Owner BIC | Sec.Account | Customer Reference | Cntrprty CSD BIC | Cntrprty BIC | Cntrprty Sec.Account | Cntrprty Client Info | Trade Date | Int.Settlement Date | Eff.Settlement D
RFP BAWAATWWXXX BAWAATWWXXX OCSD222200 OCSD000000000001 OCSDATWWXXX BKAUATWWXXX OCSD222100 09.10.2014 13.10.2014
RVP BAWAATWWXXX BAWAATWWXXX OCSD222200 SAD141009031c001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
DVP BAWAATWWXXX BAWAATWWXXX OCSD222200 SAD141009031a001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
RVP BAWAATWWXXX BAWAATWWXXX OCSD222200 SAD141009031d001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
DVP BAWAATWWXXX BAWAATWWXXX OCSD222200 SAD141009031b001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
RFP BAWAATWWXXX BAWAATWWXXX OCSD222200 GRA141015002p001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
RFP BAWAATWWXXX BAWAATWWXXX OCSD222200 GRA141015002a001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
RFP BAWAATWWXXX BAWAATWWXXX OCSD222200 GRA141015002b001 OCSDATWWXXX DEUTDEFFXXX MGTCBEBEXXX 29.12.2014 30.12.2014
RFP BAWAATWWXXX BAWAATWWXXX OCSD222200 GRA141015002c001 OCSDATWWXXX DEUTDEFFXXX 28250 OEKO ECLR 29.12.2014 30.12.2014
RFP BAWAATWWXXX BAWAATWWXXX OCSD222200 GRA141015002d001 OCSDATWWXXX DEUTDEFFXXX Euroclear Luxemburg 29.12.2014 30.12.2014
Instructions: 1-10 of 5633
Rows per page: 10 | 25 | 50 | 100

Figure 17: Search result list (extended search results 1 (example: Search Settlement Instructions)

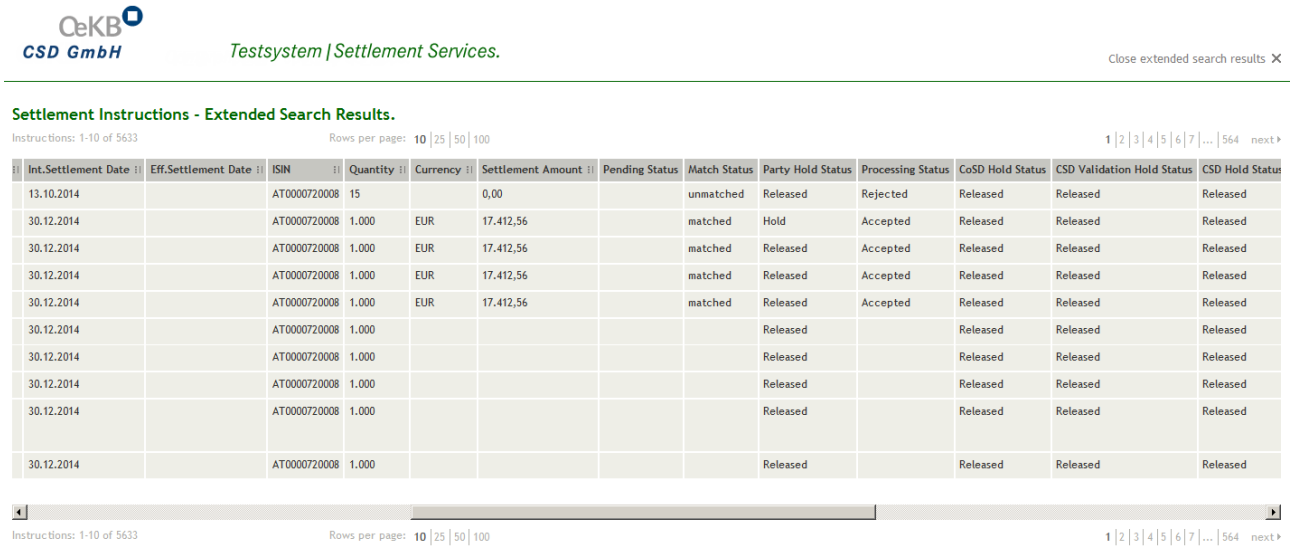

CeKB CSD GmbH
Testsystem | Settlement Services.
Close extended search results
Settlement Instructions - Extended Search Results.
Instructions: 1-10 of 5633
Rows per page: 10 | 25 | 50 | 100
1 | 2 | 3 | 4 | 5 | 6 | 7 | ... | 564 next
Int.Settlement Date | Eff.Settlement Date | ISIN | Quantity | Currency | Settlement Amount | Pending Status | Match Status | Party Hold Status | Processing Status | CoSD Hold Status | CSD Validation Hold Status | CSD Hold Status
13.10.2014 | | AT0000720008 | 15 | | 0,00 | | unmatched | Released | Rejected | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | EUR | 17.412,56 | | matched | Hold | Accepted | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | EUR | 17.412,56 | | matched | Released | Accepted | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | EUR | 17.412,56 | | matched | Released | Accepted | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | EUR | 17.412,56 | | matched | Released | Accepted | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | | | | | Released | | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | | | | | Released | | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | | | | | Released | | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | | | | | Released | | Released | Released | Released
30.12.2014 | | AT0000720008 | 1.000 | | | | | Released | | Released | Released | Released
Instructions: 1-10 of 5633
Rows per page: 10 | 25 | 50 | 100
1 | 2 | 3 | 4 | 5 | 6 | 7 | ... | 564 next

Figure 18: Search result list (extended search results 2 (example: Search Settlement Instructions)

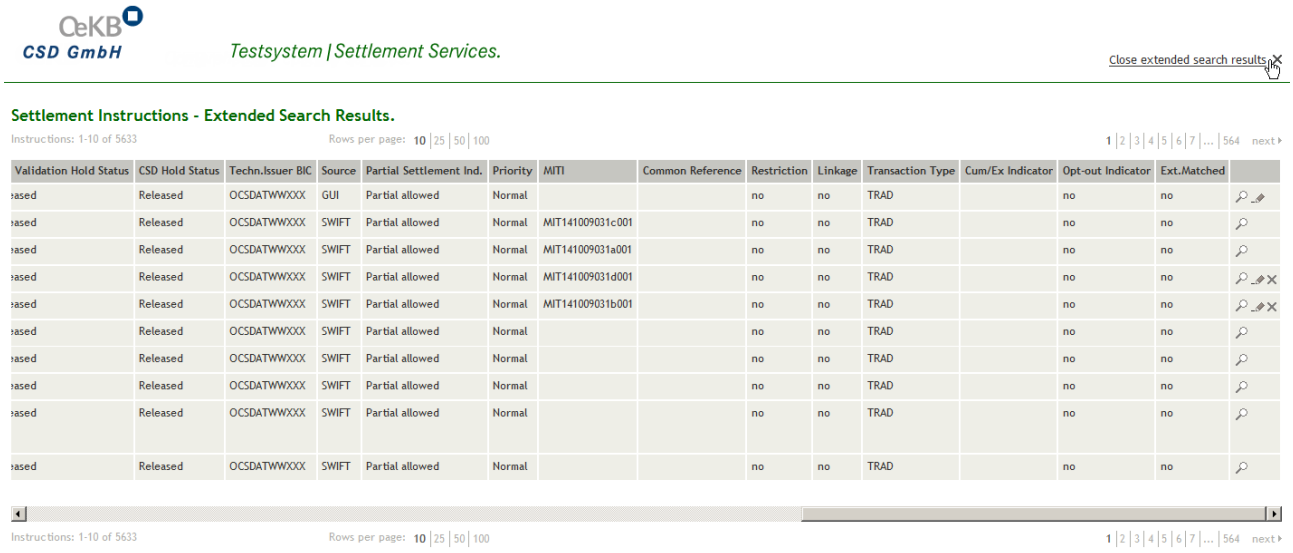

CeKB CSD GmbH
Testsystem | Settlement Services.
Close extended search results
Settlement Instructions - Extended Search Results.
Instructions: 1-10 of 5633
Rows per page: 10 | 25 | 50 | 100
1 | 2 | 3 | 4 | 5 | 6 | 7 | ... | 564 next
Validation Hold Status | CSD Hold Status | Techn.Issuer BIC | Source | Partial Settlement Ind. | Priority | MITI | Common Reference | Restriction | Linkage | Transaction Type | Cum/Ex Indicator | Opt-out Indicator | Ext.Matched
ased | Released | OCSDATWWXXX | GUI | Partial allowed | Normal | | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | MIT141009031c001 | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | MIT141009031a001 | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | MIT141009031d001 | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | MIT141009031b001 | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | | | no | no | TRAD | | no | no
ased | Released | OCSDATWWXXX | SWIFT | Partial allowed | Normal | | | no | no | TRAD | | no | no
Instructions: 1-10 of 5633
Rows per page: 10 | 25 | 50 | 100
1 | 2 | 3 | 4 | 5 | 6 | 7 | ... | 564 next

Figure 19: Search result list (extended search results 3 (example: Search Settlement Instructions)

How to Use the Extended Search Results Option of the Search Result List

Step by Step

1 Click on the icon (Extend search results) left above the search result list.
The table is expanded to show all columns available for the current type of record.

2 You have the following options:

a Use the scroll bar at the bottom of your browser window to scroll to the columns further right.

b Use the scroll bar at the bottom of your browser to move the display all the way across to the right to use the processing options available for the individual records in each row (detail view , edit , delete **X**).

3 Click on the **X** icon on the top right of the search result list (Close extended search results).
The regular view of the search result list appears again.

4 Settlement Instructions

Via the menu item *Settlement* you can create new instructions, search for specific instructions in the system, and edit or cancel existing settlement instructions.

4.1 Create Settlement Instruction

How to Open the Create Settlement Instruction Screen

Step by Step

1 In the menu bar, select *Settlement* > *Create Settlement Instruction*.
The **Create Settlement Instruction** screen appears.

Creating a new settlement instruction takes 3 steps. The Settlement Client consecutively takes you through the entry of

- Instruction Details,
- Settlement Parties, and
- Additional Information.

After each step, clicking on the **next** button or on the next step shown in the screen's header and footer (see Icons) takes you to the next input screen where you can enter more data for the instruction. Each time you switch to the next step, the system validates the data entered. Mandatory fields must be filled and the information entered has to comply with validation rules. Fields filled incorrectly or not at all will be highlighted with a note in red typeface underneath.

TIP	By clicking on a previous step or on the **back** button in the header or footer of the screen you can add data to previous input steps.

A detailed description of all fields, their interdependences from one another or from master data settings, and permitted input (e.g. numbers, text, dates, length, etc.) is available in the Field Descriptions table.

The following chapters are a step-by-step descriptions of how to create a new settlement instruction, with instruction type **DVP** - Delivery versus Payment used as example. The Settlement Client offers the following eight instruction types:

- RFP - Receive Free of Payment
- RVP - Receive versus Payment
- RWP - Receive with Payment
- PFD - Payment Free of Delivery Debit
- DFP - Delivery Free of Payment
- DVP - Delivery versus Payment
- DWP - Delivery with Payment
- PFD - Payment Free of Delivery Credit

TIP	For more detailed background information about the connection to T2S, the securities and cash account structure, and details on intra-CSD, cross-CSD or external-CSD settlement, please refer to the *Settlement Services - Functional Guide*.

The following description and step-by-step guide for creating a new instruction, where the instruction type **DVP** - Delivery versus payment is used as example only, takes into consideration that certain fields are filled in by the system according to master data settings. The step-by-step descriptions therefore only list the fields which usually require user input and hints on fields displayed differently for other instruction types or needing different input than in the case of DVP. A detailed description of all fields, their interdependences from one another or from master data settings, and permitted input (e.g. numbers, text, dates, length, etc.) is available in the Field Descriptions table.

4.1.1 Entering Instruction Details (Example DVP)

Create Settlement Instruction.

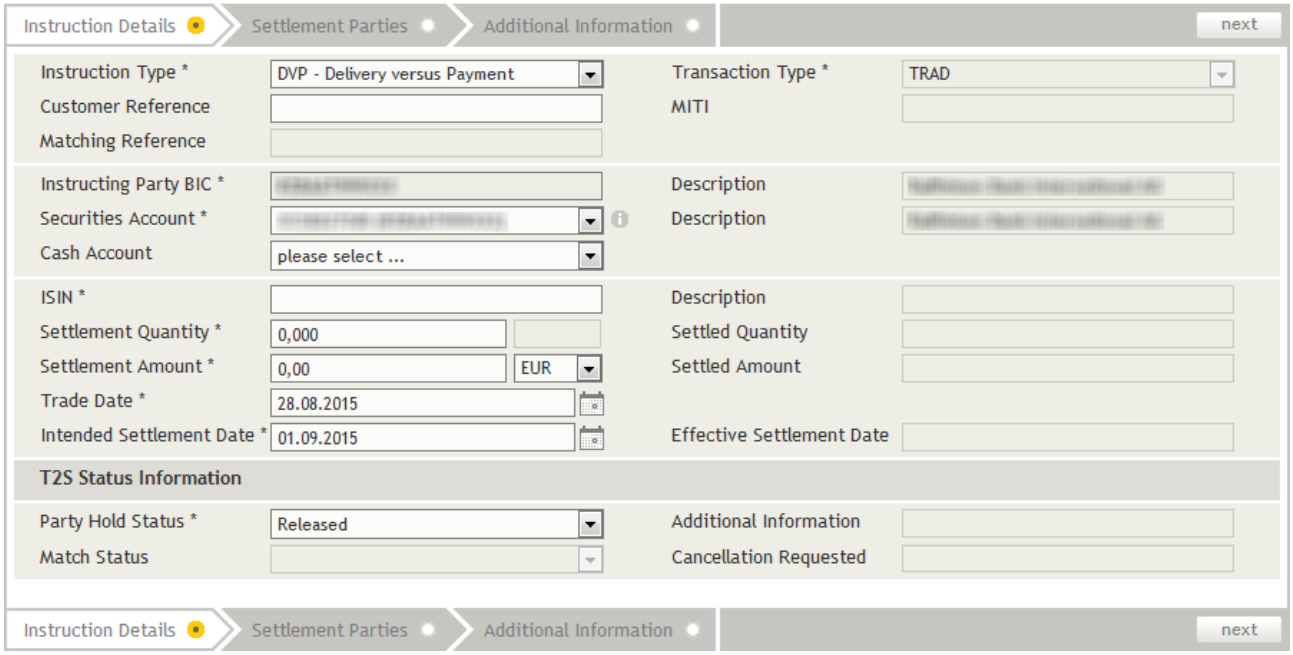


Figure 20: Create Settlement Instruction - Instruction Details (Example DVP - Delivery versus Payment)

How to Enter the Instruction Details of a New Settlement Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Create Settlement Instruction*.
The **Create Settlement Instruction** screen appears.

2 In the field **Instruction Type**, select the instruction type.
The system activates the fields relevant for the selected instruction type and in some fields allocates the appropriate entries available for selection. The system automatically inserts the appropriate predefined values into the fields:

- Transaction Type (= TRAD)
- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

- Cash Account (= default cash account for the settlement amount currency)

INFO	The field **Cash Account** is not displayed in the screen for the instruction types Free of Payment (**DFP**, **RFP**).

- Settlement Quantity (0,000)
- Settlement Amount (0,00)
- Settlement Amount Currency (EUR)
- Trade Date (= current date)
- Intended Settlement Date (= trade date + 2 bank days)
- Party Hold Status (as specified in the securities account master data)
- CSD Hold Status (= released)

You may modify these values wherever necessary. Please note, however, that some fields only allow changes within the limits of the predefined master data. For detailed field descriptions, please refer to chapter Field Descriptions.

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the instruction.

3 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

4 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	For the instruction types Free of Delivery (PFD Debit, PFD Credit), the **Settlement Quantity** field is automatically filled with the value "0.000" and disabled for input.

5 In the field **Settlement Amount**, enter the desired amount.

NOTE	For the instruction types with Payment and versus Payment (**RWP**, **DWP**, **RVP**, **DVP**), and for the instruction type **PFD** - Payment Free of Delivery (Debit and Credit) the field **Settlement Amount** becomes a mandatory field.

INFO	The default currency of the **Settlement Amount** is set to EUR (Euro). The fields **Settlement Amount** and **Settlement Amount Currency** are not displayed in the screen for the instruction types Free of Payment (DFP, RFP). The **Trade Date** field is automatically filled with the current date; the **Intended Settlement Date** field is automatically filled with the date of the first bank day after the next bank working day (Trade Date + 2 bank working days). You may modify these dates if required.

TIP	Saturdays, Sundays, and holidays as listed in the General Terms and Conditions are bank holidays and are automatically skipped by the system when completing date fields.

6 Click **next** or click on the next step in the screen's header or footer.
The **Settlement Parties** page appears.

4.1.2 Entering Settlement Parties (Example DVP)

Create Settlement Instruction.

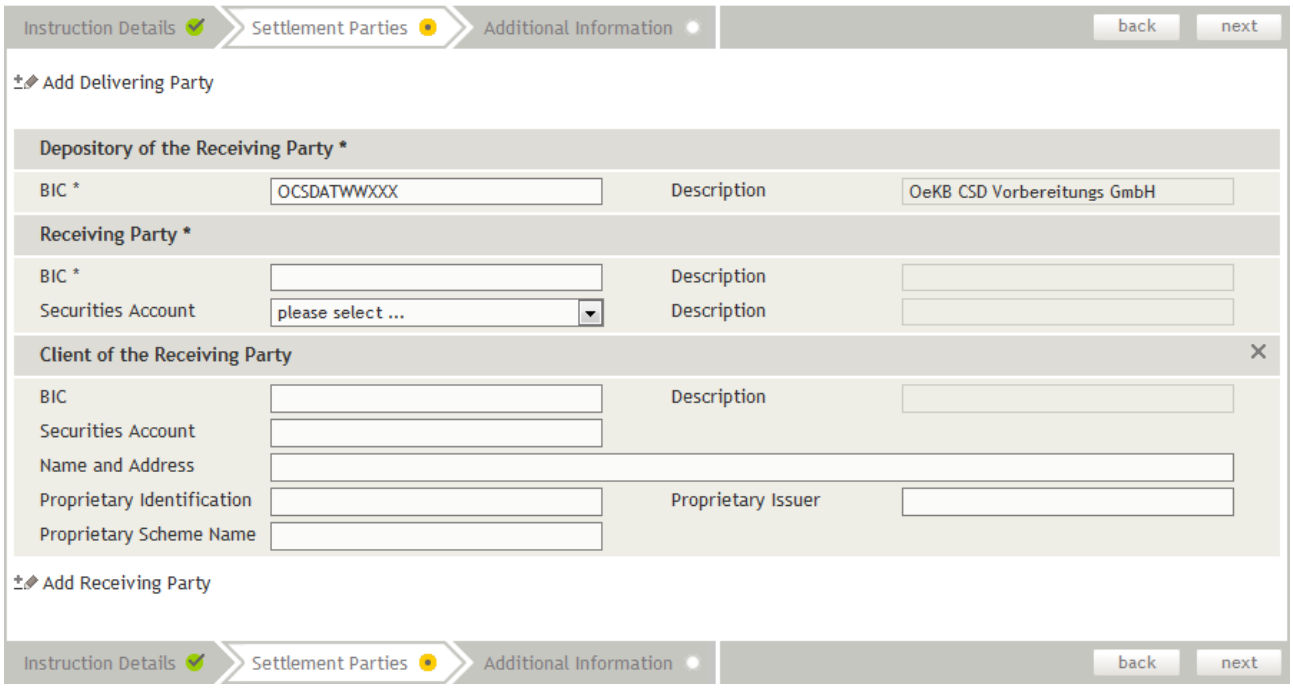


Figure 21: Create Settlement Instruction - Settlement Parties (Example DVP - Delivery versus Payment)

How to Enter the Settlement Parties of a New Settlement Instruction

Step by Step

In the step **Settlement Parties** the system completes the following fields:

- **BIC** (Depository of the Delivering/Receiving Party) incl. Description (= OCSDATWWXXX)

TIP	The **BIC (Depository of the Delivering/Receiving Party)** field may be used to enter the CSD of the counterparty, e.g. in the case of cross-CSD settlement.

1 In the field **BIC (Delivering/Receiving Party)**, enter the BIC of the CSD participant.

NOTE	If required, complete the optional fields in the **Client of the Delivering/Receiving Party** section or add more parties in the hidden screen sections **Add Receiving Party** or **Add Delivering Party**. Please refer to chapter Field Descriptions for more details on the individual fields. If filled, some optionals fields become matching criteria. For details please refer to the *Settlement Services - Functional Guide*.

INFO	The **BIC (Delivering/Receiving Party)** field shows the BIC of the instruction's counterparty. For Delivery instruction types and for PFD Credit, the system expects input of the BIC of the receiving party, for Receive instruction types and for PFD Debit, of the BIC of the delivering party.

TIP	If you want to remove a party you have added, click on the **X icon** at the top right of the additional screen section. You can remove the added parties one by one, starting with the one that was added last.

2 Click **next** or click on the next step in the screen's header or footer.
The **Additional Information** page appears.

4.1.3 Entering Additional Information (Example DVP)

Create Settlement Instruction.

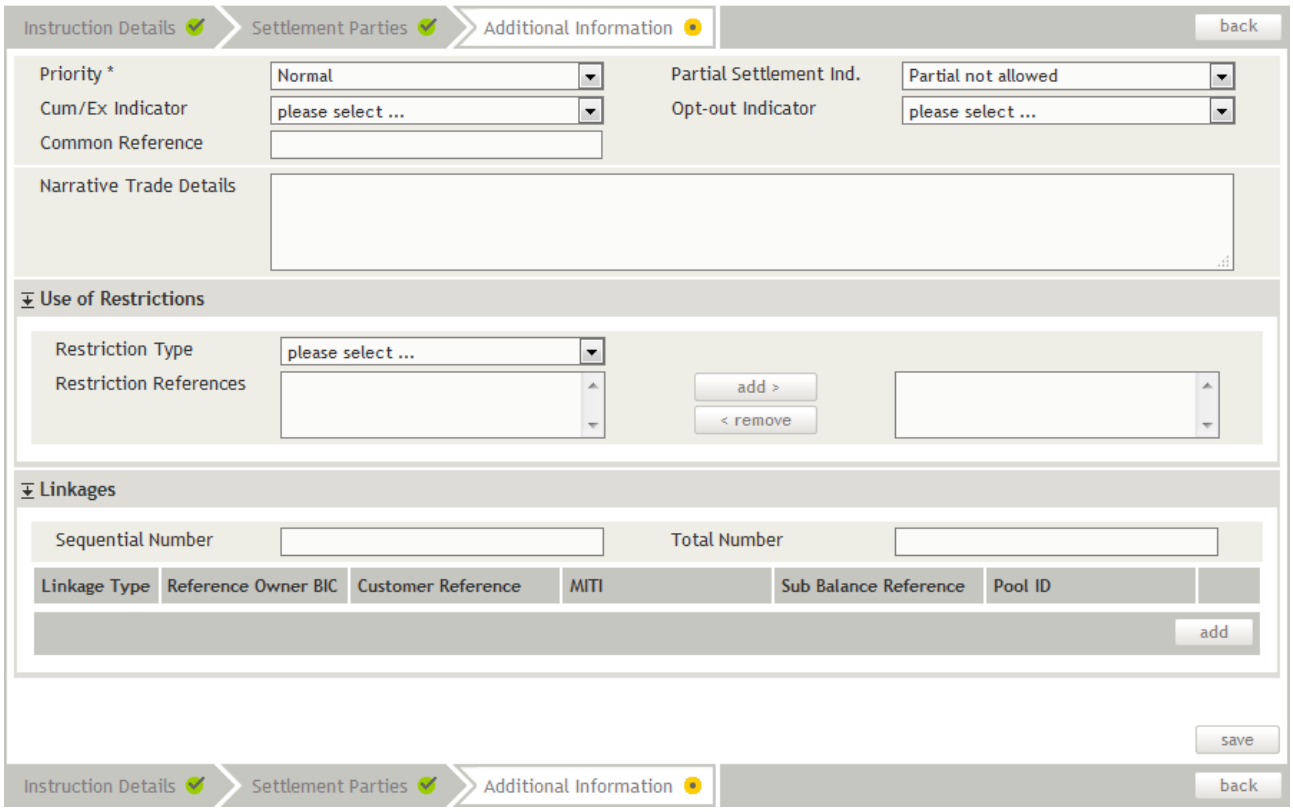


Figure 22: Create Settlement Instruction - Additional Information (Example DVP - Delivery versus Payment)

How to Enter Additional Information of a New Settlement Instruction

Step by Step

In the step **Additional Information** the system completes the following fields:

- Priority (= Normal)
- Partial Settlement Indicator (as specified in the securities account master data)

TIP

Use of Restrictions: Here you can assign **Restriction References** (i.e. positions previously blocked, reserved or earmarked by intra-position movements) that will be used to settle the instruction. To do so, click on the function link **Use of Restrictions** to open a drop-down screen section, where you can fill in the corresponding fields. For more information on restrictions, please refer to chapter Entering Restrictions for an Instruction.

Linkages: Here you can define **Linkages** (i.e. connections with other instructions or restrictions) that shall apply to an instruction. To do so, click on the function link **Linkages**. This opens a drop-down screen section, where you can fill in the corresponding fields. For more information on linkages, please refer to chapter Entering Linkages for an Instruction.

1 Click **save** to save the instruction.

INFO

If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Settlement Instruction Summary**, where you can verify the data you have entered. The screen includes the Message History in a separate tab.

2 Click **ok** in the **Settlement Instruction Summary** to confirm your entries.
The entry page appears.

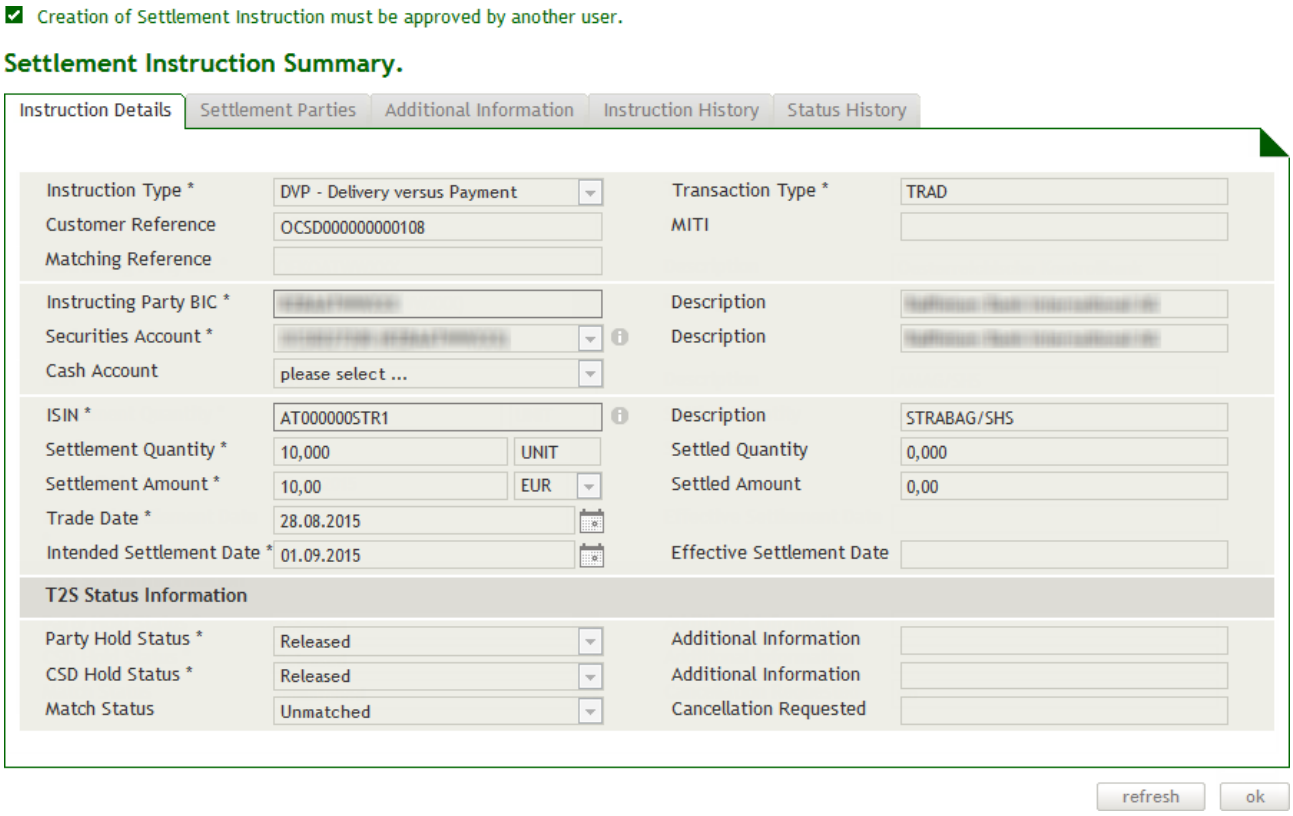


Figure 23: Settlement Instruction Summary (Example DVP with 4EP Authorisation)

4.1.4 Entering Restrictions for an Instruction (Example DVP)

It is possible to assign previously blocked or reserved positions when creating a new or editing an existing instruction. Exactly these positions will then be used to settle the instruction. For details on how to block and reserve positions, please refer to Create Intra-Position Movement.

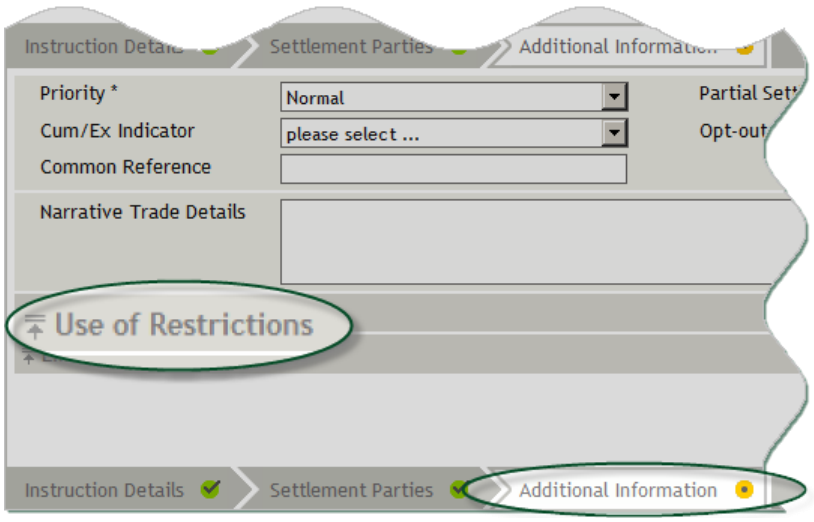


Figure 24: Function link Use of Restrictions (Create Settlement Instruction - Additional Information)

Figure 25: Restrictions for an Instruction (drop-down screen section)

4.1.4.1 Assigning Restrictions (blocked or reserved positions) to an Instruction

You can use certain positions to settle an instruction if they have been defined earlier.

NOTE Restrictions can only be used for an instruction if the necessary restrictions have been created in the form of intra-position movements before. For details see Create Intra-Position Movements.

How to Assign a Blocked or Reserved Position to an Instruction

Step by Step

1 In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Restrictions** (see fig. 24).
To do so, click on the **Use of Restrictions** function link.
The drop-down screen section **Use of Restrictions** appears (see fig. 25).

2 In the field **Restriction Type**, select the type of restriction.
The field **Restriction References (left-hand)** lists the references of all restriction of the selected type previously entered.

3 Click on the reference of the restriction which you want to assign to the instruction.

4 Click on the **add >** button.
The reference of the selected restriction is assigned and displayed in the right-hand side **Restriction References** field.

TIP If you have assigned a restriction reference in error, use the **< remove** button to move the reference back from the right-hand side to the left-hand side **Restriction References** field.

It is possible to assign more than one blocked or reserved positions of different types to one instruction.

5 Continue entering the Settlement Instruction.

4.1.5 Entering Linkages for an Instruction (Example DVP)

It is possible to connect two or more instructions by means of so-called **linkages**. Entering linkages is possible during the step **Additional Information** when creating a new or editing an existing settlement instruction. Linkages are defined in the drop-down screen section **Linkages**. The following instructions can be linked:

- Two or more instructions
- Two or more intra-position movements
- Instructions with intra-position movements

NOTE It is not possible to link instructions where the counterparty is the client of an external depository.

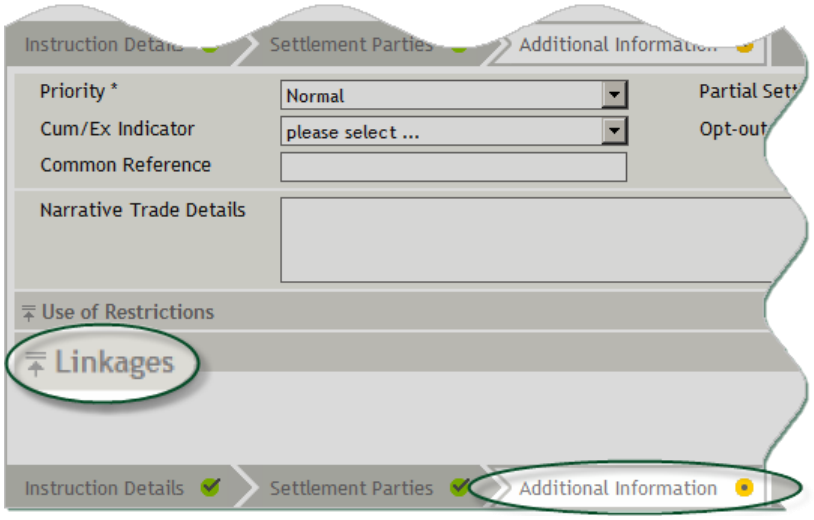


Figure 26: Function link Linkages (Create Settlement Instruction - Additional Information)

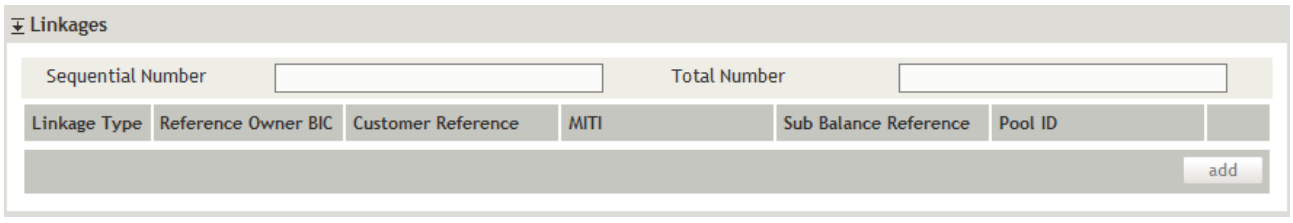


Figure 27: Linkage for an instruction (drop-down screen section)

The linkage details can be entered in a pop-up dialog, which opens as soon as you click on the **add** button.

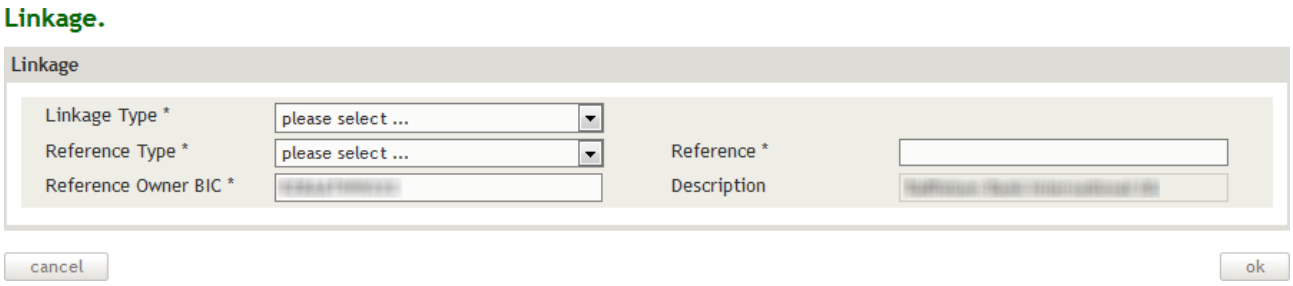


Figure 28: Linkage for an instruction (pop-up dialog)

4.1.5.1 Entering Linkages Between Two Instructions (Position Linkage)

There are three ways to connect two instructions by means of a linkage (**Linkage Type**):

- **After**: The newly created instruction will be settled after or at the same time as the linked to instruction.
- **Before**: The newly created instruction will be settled before or at the same time as the linked to instruction.
- **With**: The newly created instruction will be settled at the same time as the linked to instruction.

NOTE	Instructions with linkages cannot be settled partially.

INFO	As an additional option, you can use the **Linkage Type Information** to connect two or more instructions. This linkage type serves information purposes only. Partial settlement is permitted for linkages of the type **Information**. The system automatically generates linkages of the type **Information** for instructions related to auto-collateralisation.

TIP	With the corresponding linkage types assigned, you can create sequences of instructions which will be settled one after the other, depending on the order specified by the linkages.

How to Enter a Position Linkage Between Two Instructions

Step by Step

1. In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Linkages**.
   To do so, click on the **Linkages** function link. (see fig. 26)
   The drop-down screen section **Linkages** appears (see fig. 27).
2. Click on the **add** button.
   The pop-up dialog **Linkage** appears (see fig. 28).
3. In the field **Linkage Type**, select the type of linkage **After**, **Before** or **With**.
4. In the field **Reference Type**, select the type of reference **Customer Reference** or **MITI**.
5. In the field **Reference**, enter the corresponding customer reference or the Market Infrastructure Transaction Identifier (MITI) of the instruction or restriction with which you want to connect the newly created instruction.

6 Click **ok** in the **Linkage** pop-up dialog to return to the **Create Settlement Instruction** screen.

7 Continue entering the Settlement Instruction.

4.1.5.2 Entering Linkages Between Several Instructions (Pool Linkage)

It is possible to link several instructions which have to be settled concurrently. To do so, use the reference type **Pool** in the **Linkages** pop-up dialog to create the linkage.

NOTE	In the case of linkages with the Pool reference type instructions or restrictions with an identical pool reference are settled either all at once or none. If one of the instructions or restrictions within a pool fails to be settled, all other instructions and restrictions in the pool are not settled as well and receive an appropriate Pending status.

How to Enter a Pool Linkage Between Several Instructions

Step by Step

1 In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Linkages**.
To do so, click on the **Linkages** function link. (see fig. 26)
The drop-down screen section **Linkages** appears (see fig. 27).

2 Click on the **add** button.
The pop-up dialog **Linkage** appears (see fig. 28).

3 In the field Linkage Type, select the type of linkage **With** or leave the default selection unchanged.

NOTE	Pool linkages only allow the selection **With** (or the default selection) in the field **Linkage Type**.

4 In the field **Reference Type**, select the type of reference **Pool ID**.

5 In the field **Reference**, enter the common pool reference all instructions and restrictions in the pool shall share.

6 Click **ok** in the **Linkage** pop-up dialog to return to the **Create Settlement Instruction** screen.

7 In the field **Sequential Number**, enter the current consecutive number of this instruction or restriction within the pool.

8 In the field **Total Number**, enter the total number of all instructions or restrictions linked with one another in the pool.

9 Continue entering the Settlement Instruction.

4.1.5.3 Entering a Linkage Between an Instruction and an Intra-Position Movement (Position Linkage)

There are three ways to connect an instruction with an intra-position movement by means of a linkage (**Linkage Type**):

- **After**: The newly created instruction will be settled after or at the same time as the linked to intra-position movement.
- **Before**: The newly created instruction will be settled before or at the same time as the linked to intra-position movement.
- **With**: The newly created instruction will be settled at the same time as the linked to intra-position movement.

NOTE	Instructions with linkages cannot be settled partially.

How to Enter a Position Linkage Between an Instruction and an Intra-Position Movement

Step by Step

1. In step 3, **Additional Information**, of the **Create Settlement Instruction** screen, open the drop-down screen section **Linkages**.
   To do so, click on the **Linkages** function link. (see fig. 26)
   The drop-down screen section **Linkages** appears (see fig. 27).
2. Click on the **add** button.
   The pop-up dialog **Linkage** appears (see fig. 28).
3. In the field **Linkage Type**, select the type of linkage **After**, **Before** or **With**.
4. In the field **Reference Type**, select the type of reference **Sub Balance Reference**.
5. In the field **Reference**, enter the restriction reference of the intra-position movement with which you want to connect the newly created instruction.
6. Click **ok** in the **Linkage** pop-up dialog to return to the **Create Settlement Instruction** screen.
7. Continue entering the Settlement Instruction.

4.1.6 Field Descriptions (Create Settlement Instruction)

The description of the fields in the **Create Settlement Instruction** screen is sectioned in three parts, i.e. the three steps:

- Instruction Details,
- Settlement Parties, and
- Additional Information

INFO	The **Create Settlement Instruction** screen is used as **Edit** and **Review Settlement Instruction** screen (when modifying or releasing an instruction, respectively) and as **Settlement Instruction Detail** screen (when displaying an instruction) with exactly the same appearance. Field values or entries which differ between these variants of the screen are listed with the descriptions of the respective fields below.

4.1.6.1 Instruction Details (Step 1)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Instruction Type Mandatory field during Create	-	Create Input request 'please select ...'	Selection from the list: ▪ **RFP** - Receive Free of Payment ▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit ▪ **DFP** - Delivery Free of Payment ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	-
		Edit / Detail View The instruction type selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Transaction Type Mandatory field during Create (automatically completed by the system)	All	Create: **TRAD** - Trade (Standard Settlement Instruction)	-	-
		Edit / Detail View: **CLAI** - Market Claim **COLI** - Collateral (credit provider) **COLO** - Collateral (credit consumer) **CORP** - Corporate Action **MKDW** - Decrease of Global Certificates **MKUP** - Increase of Global Certificates **TRAD** - Standard Instruction		
Customer Reference	All	Create If left empty by the user, the system will generate a unique reference	Own reference	16 max alphanum.
		Edit / Detail View The customer reference of the instruction	-	
MITI	All	Create: -	-	-
		Edit / Detail View: The unique Market Infrastructure Transaction Identifier automatically assigned as soon as the instruction has been accepted by the system.		
Matching Reference	All	Create: -	-	-
		Edit / Detail View: Reference assigned by T2S after matching		
Instructing Party BIC Mandatory field during Create (automatically completed by the system)	All	BIC of the inputting party	-	BIC11

Field	Instruction Type	Content (by system)	Entry (by user)	Length
[Instructing Party BIC] Description	All	The designation of the instructing party	-	-
Securities Account Mandatory field during Create	All	Create The securities account defined as the default	Selection from the securities accounts available for the instructing party **INFO** In addition to the securities account number this field shows the BIC of the securities account holder.	-
		Edit / Detail View The securities account selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
[Securities Account] Description	All	The designation of the selected securities account	-	-
Cash Account	▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	The cash account defined as the default for the currency selected in the Settlement Amount Currency field	Create Selection from the cash accounts available for the instructing party Edit / Detail View -	-
	▪ **RFP** - Receive Free of Payment ▪ **DFP** - Delivery Free of Payment	This field is not displayed for the two instruction types Free of Payment, **RFP** and **DFP**.		
ISIN Mandatory field during Create	All	Create **Auto-Complete**: After input of the country code the system suggests a list of ISIN. Edit / Detail View The ISIN selected during creation	Country code, then selection from the suggested list -	12 alphanum.

Field	Instruction Type	Content (by system)	Entry (by user)	Length
[ISIN] Description	All	The designation of the financial instrument	-	-
Settlement Quantity Mandatory field during Create	▪ **RFP** - Receive Free of Payment ▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **DFP** - Delivery Free of Payment ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment	Create 0.000	Quantity or nominal value of the financial instrument A value greater than zero	Decimal number
		Edit / Detail View The nominal value / quantity selected during creation	-	
	▪ **PFD** - Payment Free of Delivery Debit ▪ **PFD** - Payment Free of Delivery Credit	0.000	- **INFO** For the instruction types Free of Delivery (PFD Debit, PFD Credit), this field is automatically filled with the value "0.000" and disabled for input.	-
[Quantity Type]	All	After ISIN input or selection: ▪ **FAMT** - for financial instruments with a price as percentage of par (face amount) ▪ **UNIT** - for financial instruments with a price per unit	-	-
Settled Quantity	All	Create: -	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
		Edit / Detail View: 0,000 or in case of settled instructions the settled quantity or the settled nominal value of the financial instruments		
Settlement Amount Mandatory field during Create	▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	Create 0.00	Cash value of the transaction A value greater than zero	Decimal number
		Edit / Detail View The cash value of the transaction selected during creation	-	
	▪ **RFP** - Receive Free of Payment ▪ **DFP** - Delivery Free of Payment	This field is not displayed for the two instruction types Free of Payment, **RFP** and **DFP**.		
[Settlement Amount Currency] **'EUR'** Mandatory field during Create (automatically completed by the system)	▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	Create EUR	Selection from **CHF**, **EUR**, **GBP**, **USD, RUB**	-
		Edit / Detail View The currency selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
	▪ **RFP** - Receive Free of Payment ▪ **DFP** - Delivery Free of Payment	This field is not displayed for the two instruction types Free of Payment, **RFP** and **DFP**.		
Settled Amount	▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	Create: - Edit / Detail View: 0,00 or in case of settled instructions the settled cash value of the instruction	-	-
	▪ **RFP** - Receive Free of Payment ▪ **DFP** - Delivery Free of Payment	This field is not displayed for the two instruction types Free of Payment, **RFP** and **DFP**.		
Trade Date Mandatory field during Create (automatically completed by the system)	All	Create: The current date Edit / Detail View: The date of the trade date	Date of the trade date (may be up to 60 calendar days in the past) -	DD-MM-YYYY
Intended Settlement Date Mandatory field during Create (automatically completed by the system)	All	Create: The date two bank days after the current date Edit / Detail View: The settlement date on which the settlement of the instruction was intended	Date of the settlement date (may be up to 60 calendar days in the past and up to 30 calendar days in the future). -	DD-MM-YYYY

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Effective Settlement Date	All	Create: - Edit / Detail View: In case of settled instructions the date of the day when the instruction was actually settled	-	DD-MM-YYYY
T2S Status Information				
Party Hold Status Mandatory field during Create	All	Create: The default value for the securities account specified in the master data	Selection between **Hold** or **Released** By selecting **Hold** it is possible to send a preadvice instruction.	-
		Edit: It is possible to select a different Party Hold Status when editing an instruction. In case of status **Hold** the instruction is also displayed as an entry below **Instruction Alerts** in the task box.		
		Detail View: **Released** or **Hold**	-	
[Party Hold Status] Additional Information	All	The designation of the displayed status	-	-
CSD Hold Status Mandatory field during Create	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View: **Released** or **Hold**	-	
[CSD Hold Status] Additional Information	All	Create: This field is not displayed in the **Create** screen.		-
		Edit / Detail View The designation of the displayed status	-	
Match Status	All	Create: -	-	-
		Edit / Detail View: **unmatched** or **matched**		

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Cancellation Requested	All	Create: - Edit / Detail View: **no** (as long as no cancellation has been submitted) **yes** (if a cancellation of the instruction has been entered)	-	-

4.1.6.2 Settlement Parties (Step 2)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Add Delivering Party or	▪ **DFP** - Delivery Free of Payment ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	**BIC - Depository of the Delivering Party** (= depository of the inputting participant) **BIC/ Securities Account - Delivering Party** (= BIC and securities account of the inputting participant)	Create Additional Delivering Party as required. Clicking on the link opens the following screen sections in consecutive order: ▪ **Depository of the Delivering Party** ▪ **Delivering Party** ▪ **Client of the Delivering Party** (see field descriptions Client of the Receiving/Delivering Party, below) ▪ **Delivering Party 3** ▪ **Delivering Party 4** ▪ **Delivering Party 5** A maximum of 5 participants can be entered. **NOTE** Enter the receiving party first, before you enter additional delivering parties. Edit -	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Add Receiving Party	▪ **RFP** - Receive Free of Payment ▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit	**BIC - Depository of the Receiving Party** (= depository of the inputting participant) **BIC/ Securities Account - Receiving Party** (= BIC and securities account of the inputting participant)	Create Additional Receiving Party as required. Clicking on the link opens the following screen sections in consecutive order: ▪ **Depository of the Receiving Party** ▪ **Receiving Party** ▪ **Client of the Receiving Party** (see field descriptions Client of the Receiving/Delivering Party, below) ▪ **Receiving Party 3** ▪ **Receiving Party 4** ▪ **Receiving Party 5** A maximum of 5 participants can be entered. **NOTE** Enter the delivering party first, before you enter additional receiving parties. Edit -	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Depository of the Receiving/Delivering Party				
BIC **(Depository of the Receiving Party)** Mandatory field during Create or	▪ **DFP** - Delivery Free of Payment ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	Create OCSDATWWXXX **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all central securities depositories available in the list Input of the first or two consecutive characters of the BIC, then selection from the suggested list NOTE If **ECSD** is selected as the depository, the **Securities Account** field in the section **Receiving/Delivering Party** becomes a mandatory field.	BIC11
		Edit The central securities depository selected during creation	-	
BIC **(Depository of the Delivering Party)** Mandatory field during Create	▪ **RFP** - Receive Free of Payment ▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit			
[BIC] Description	All	The designation of the selected depository	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Receving/Delivering Party				
BIC **(Receiving Party)** Mandatory field during Create or	▪ **DFP** - Delivery Free of Payment ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	Create **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	BIC of the receiving party Input of the first or two consecutive characters of the BIC, then selection from the suggested list	BIC11
		Edit / Detail View The BIC selected during creation	-	
BIC **(Delivering Party)** Mandatory field during Create	▪ **RFP** - Receive Free of Payment ▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit		BIC of the delivering party Input of the first or two consecutive characters of the BIC, then selection from the suggested list	
			Edit / Detail View -	
[BIC] Description	All	The designation of the selected counterparty	-	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Securities Account	All	Create The securities account defined as default for the counterparty	Create Selection from the securities accounts available for the counterparty **NOTE** This field becomes a mandatory field if the depository selected in the section **Depository of the Receiving/ Delivering Party** is **ECSD**.	-
		Edit / Detail View The securities account selected during creation	-	
[Securities Account] Description	All	The designation of the selected securities account	-	-

Client of the Receiving/Delivering Party

BIC	All	Create -	BIC of the client If a BIC is entered, the fields for the Proprietary Information and the Name and Address field are disabled. If the Proprietary Information or a Name and Address are entered, this field is disabled.	BIC11
		Edit / Detail View The BIC of the client selected during creation	-	
[BIC] Description	All	The name of the party entered if known in the system	-	-
Securities Account	All	Create -	Securities account of the client	35 max alphanum.
		Edit / Detail View The securities account of the client selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Name and Address	All	Create -	Identification of the client If the name and address are entered, the field for the Proprietary Information and the BIC field are disabled. If the BIC or the Proprietary Information are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View The identification of the client selected during creation	-	
Proprietary Identification	All	Create -	ID of the client in the client's proprietary system If the proprietary identification is entered, the BIC field and the Name and Address field are disabled. If the BIC or the Name and Address are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View The ID of the client in the client's proprietary system selected during creation	-	
Proprietary Issuer	All	Create -	Issuer ID in the client's proprietary system If the proprietary issuer is entered, the BIC field and the Name and Address field are disabled. If the BIC or the Name and Address are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View The issuer ID in the client's proprietary system selected during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Proprietary Scheme Name	All	Create -	Name of the scheme used by the client's proprietary system If the proprietary scheme is entered, the BIC field and the Name and Address field are disabled. If the BIC or the Name and Address are entered, this field is disabled.	35 max alphanum.
		Edit / Detail View The name of the scheme used by the client's proprietary system selected during creation	-	
Add Receiving Party or	▪ **DFP** - Delivery Free of Payment ▪ **DVP** - Delivery versus Payment ▪ **DWP** - Delivery with Payment ▪ **PFD** - Payment Free of Delivery Credit	**BIC - Depository of the Receiving Party** (= depository of the inputting participant) **BIC/ Securities Account - Receiving Party** (= BIC and securities account of the inputting participant)	Create Additional Receiving Party as required. Clicking on the link opens the following screen sections in consecutive order: ▪ **Receiving Party 3** ▪ **Receiving Party 4** ▪ **Receiving Party 5** A maximum of 5 participants can be entered. **NOTE** Enter the receiving party in the section **Receiving Party** first, before you enter additional receiving parties.	-
			Edit / Detail View -	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Add Delivering Party	▪ **RFP** - Receive Free of Payment ▪ **RVP** - Receive versus Payment ▪ **RWP** - Receive with Payment ▪ **PFD** - Payment Free of Delivery Debit	**BIC - Depository of the Delivering Party** (= depository of the inputting participant) **BIC/ Securities Account - Delivering Party** (= BIC and securities account of the inputting participant)	Create Additional Delivering Party as required. Clicking on the link opens the following screen sections in consecutive order: ▪ **Delivering Party 3** ▪ **Delivering Party 4** ▪ **Delivering Party 5** A maximum of 5 participants can be entered. **NOTE** Enter the delivering party in the section **Delivering Party** first, before you enter additional delivering parties. Edit / Detail View -	-

4.1.6.3 Additional Information (Step 3)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Priority Mandatory field during Create (automatically completed by the system)	All	Create: **Normal**	Selection between **Normal** or **High** Instructions with priority **High** are settled before instructions with priority **Normal**.	-
		Edit: It is possible to select a different Priority when editing an instruction.		
		Detail View: **Normal** or **High**	-	
Partial Settlement Ind.	All	Create: As specified in the securities account master data	Selection between **Partial not allowed** or **Partial allowed** Instructions with the partial settlement indicator **Partial not allowed** will not be partially settled.	-
		Edit: It is possible to select a different Partial Settlement Indicator when editing an instruction.		
		Detail View: **Partial allowed** or **Partial not allowed**	-	
Cum/Ex Indicator	All	Create Input request 'please select ...'	Selection between **CUM** or **EX** With a Cum/Ex Indicator selected, this field becomes a matching criterion. For details see *Settlement Services - Functional Guide*.	-
		Edit / Detail View **CUM** or **EX**	-	
Opt-out Indicator	All	Create Input request 'please select ...'	Selection between **yes** or **no** With an Opt-out Indicator selected, this field becomes a matching criterion. For details see *Settlement Services - Functional Guide*.	-
		Edit / Detail View **yes** or **no**	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Common Reference	All	Create -	The common reference to identify the settlement instruction In case of multicurrency settlement instructions, the OeKB CSD uses this field to enter the currency and the amount in the foreign currency to ensure matching. Any data contained in this field will be overwritten in this case. With a Common Reference specified, this field becomes a matching criterion. For details see *Settlement Services - Functional Guide*.	16 alphanum.
		Edit / Detail View The common referenced used to identify the settlement instruction or the currency and amount entered by OeKB CSD for multicurrency settlement instructions		
Narrative Trade Details	All	Create -	Free text	350 alphanum.
		Edit / Detail View The text entered during creation	-	
Use of Restrictions	All	-	see Use of Restrictions (field description)	Drop-down screen section
Linkages	All	Create: -	see Linkages (field description)	Drop-down screen section
		Edit: It is possible to modify linkages when editing an instruction.		

4.1.6.4 Use of Restrictions (Screen Section, Step 3)

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Restriction Type	All	Input request 'please select ...'	Selection from the list: ▪ **AWAS (Deliverable Securities Position)** - available securities position (not yet included in an intra-position movement) ▪ **"BLOn" (Blocking)** - blocked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "BLO" (n= 0...9)) ▪ **"RESn" (Reserved)** - reserved securities position (labelled in an intra-position movement as **Restr. Type Balance To** "RES" (n= 0...9)) ▪ **"EARn" (Earkarming)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR" (n= 0...9))	-
Restriction References	All	List of the references of all previously entered intra-position movements of the selected type For details on how to create restrictions, please refer to Create Intra-Position Movement.	The **add >** button is used to assign restrictions	-

4.1.6.5 Linkages (Screen Section, Step 3)

TIP	It is possible to modify linkages in the **Edit** screen when editing an instruction.

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Sequential Number	All	Create -	Consecutive number of the newly created instruction in the pool	3 Integer
		Edit / Detail View The consecutive number entered during creation	-	

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Total Number	All	Create -	Total number of instructions/intra-position movements in the pool	3 Integer
		Edit / Detail View The total number of instructions/intra-position movements entered during creation	-	

Linkages Pop-up Dialog

Linkage Type Mandatory field during Create	All	-	Selection from the list: ▪ **After** - the instruction will be settled after or at the same time as the one it is linked to ▪ **Before** - the instruction will be settled before or at the same time as the one it is linked to ▪ **With** - the instruction will be settled at the same time as the one it is linked to ▪ **Information** - this linkage has information purposes only and is chiefly created automatically by the system, e.g. for auto-collateralisation	-
Reference Type Mandatory field during Create	All	-	Selection from the list: ▪ **Customer Reference** - The customer reference associated with the instruction or restriction with which the new instruction shall be linked ▪ **MITI** - The T2S assigned Market Infrastructure Transaction Identifier associated with the instruction or restriction with which the new instruction shall be linked ▪ **Sub Balance Reference** - The restriction reference associated with the restriction with which the new instruction shall be linked ▪ **Pool ID** - The common reference used to identify all the instructions or restrictions in the same pool	-

Field	Instruction Type	Content (by system)	Entry (by user)	Length
Reference Mandatory field during Create	All	-	The reference as determined by the type of reference selected in the **Reference Type** field	16 alphanum.
Reference Owner BIC Mandatory field during Create	All	BIC of the inputting party	-	BIC11
[Reference Owner BIC] Description	All	The designation of the instructing party	-	-

4.2 Search Settlement Instructions

You can search for settlement instructions in order to modify or cancel them.

How to Open the Search Settlement Instructions Screen

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.

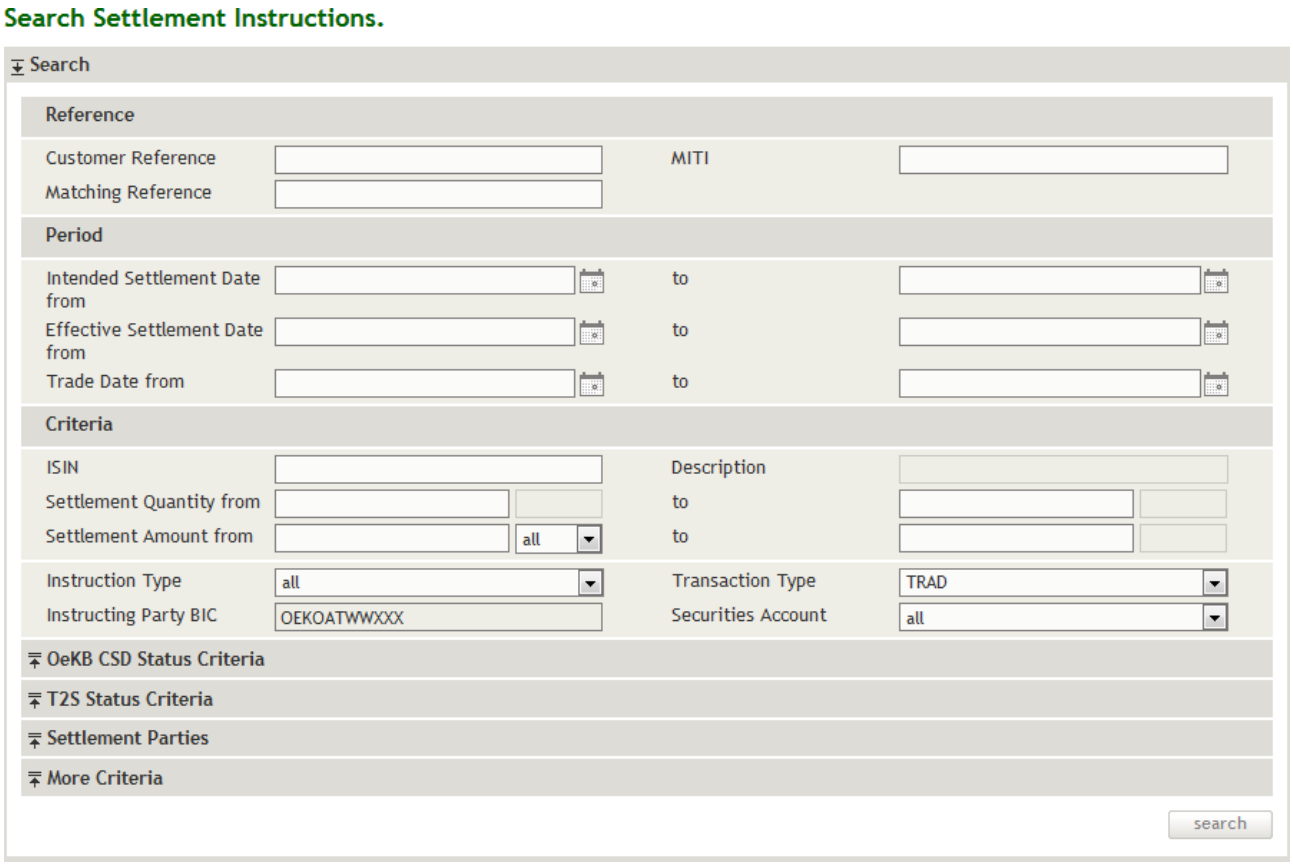


Figure 29: Search Settlement Instructions

You can use the following drop-down screen sections to enter search criteria:

- Search (this section is displayed when the screen is opened for the first time, fig. 29)
- OeKB CSD Status Criteria (fig. 30)
- T2S Status Criteria (fig. 31)
- Settlement Parties (fig. 33)
- More Criteria (fig. 34)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

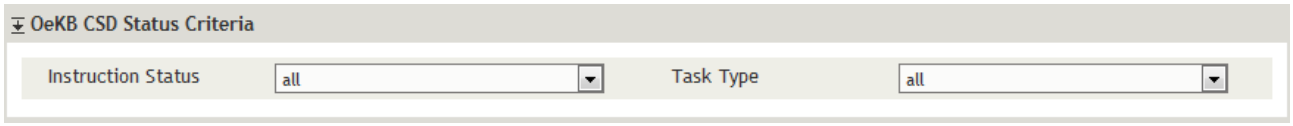


Figure 30: Search Settlement Instructions - OeKB CSD Status Criteria

Figure 31: Search Settlement Instructions - T2S Status Criteria

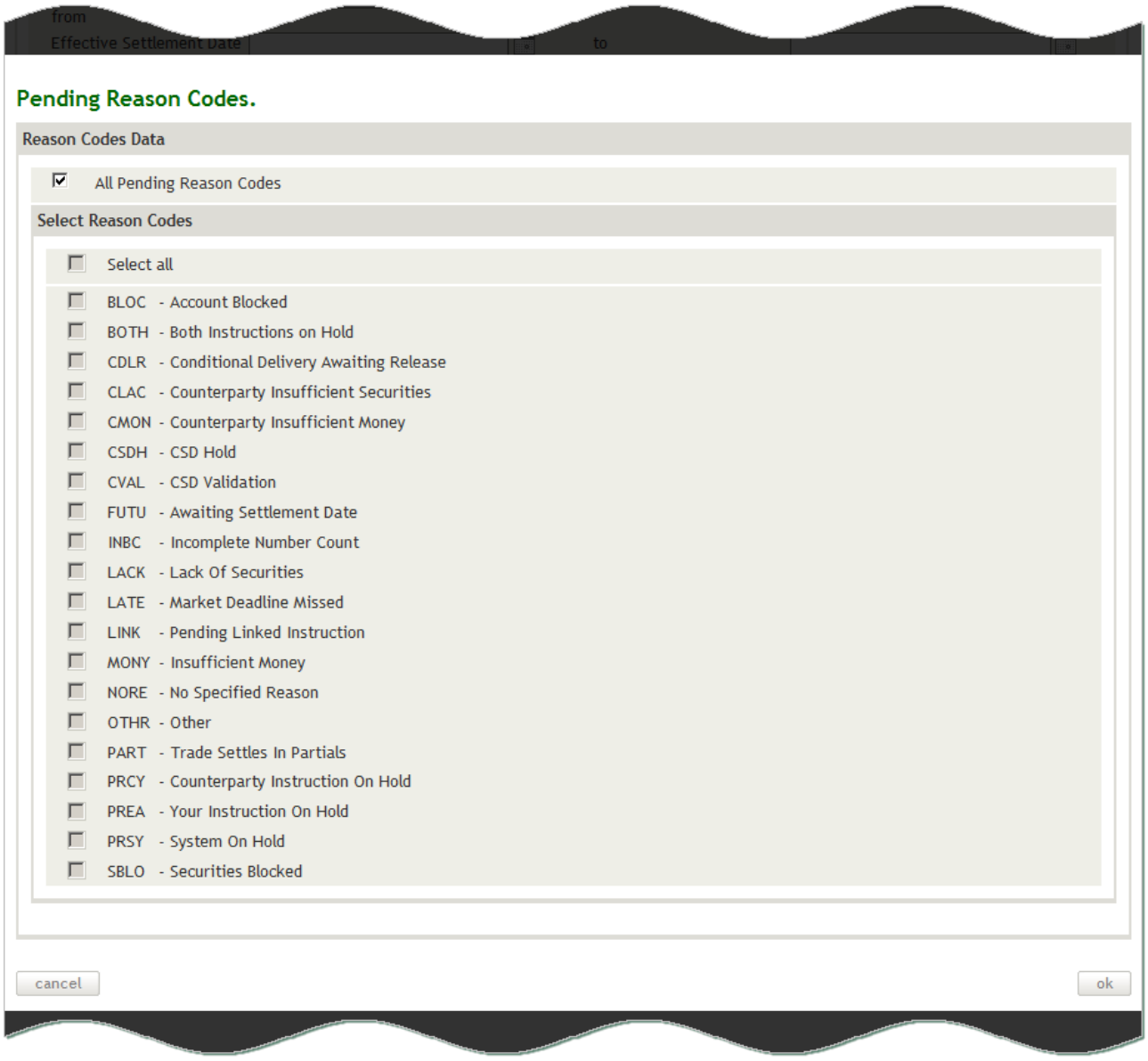

from
Effective Settlement Date
to
Pending Reason Codes.
Reason Codes Data
All Pending Reason Codes
Select Reason Codes
Select all
BLOC - Account Blocked
BOTH - Both Instructions on Hold
CDLR - Conditional Delivery Awaiting Release
CLAC - Counterparty Insufficient Securities
CMON - Counterparty Insufficient Money
CSDH - CSD Hold
CVAL - CSD Validation
FUTU - Awaiting Settlement Date
INBC - Incomplete Number Count
LACK - Lack Of Securities
LATE - Market Deadline Missed
LINK - Pending Linked Instruction
MONY - Insufficient Money
NORE - No Specified Reason
OTHR - Other
PART - Trade Settles In Partials
PRCY - Counterparty Instruction On Hold
PREA - Your Instruction On Hold
PRSY - System On Hold
SBLO - Securities Blocked
cancel
ok

Figure 32: Search Settlement Instructions - Pending Reason Codes (pop-up screen)

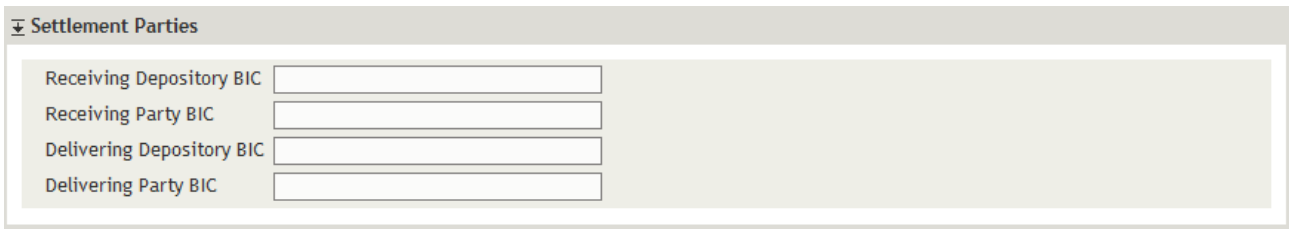


Figure 33: Search Settlement Instructions - Settlement Parties

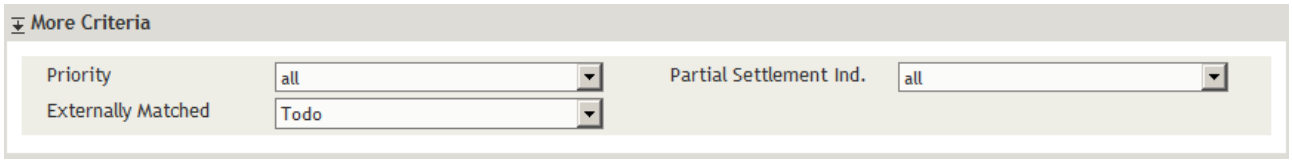


Figure 34: Search Settlement Instructions - More Criteria

TIP	Clicking on **search** without entering search criteria lists all instructions available in the system. To search for (a) specific instruction(s), enter criteria in the fields which best characterise the instruction you are looking for.

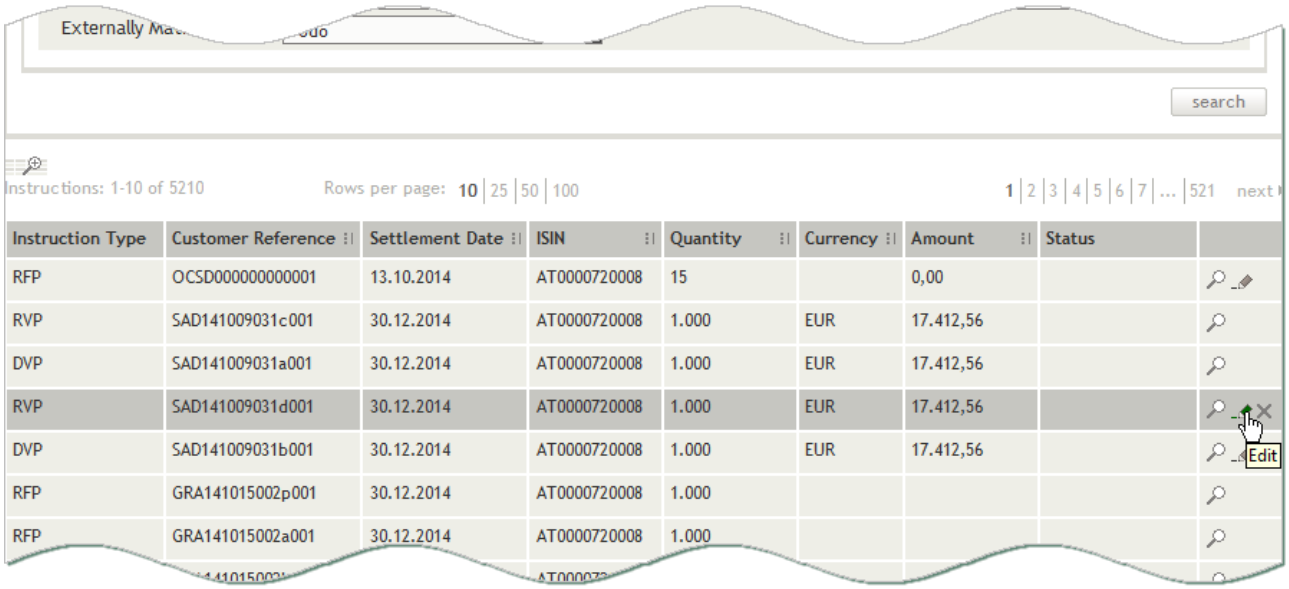
4.2.1 Modifying Settlement Instructions

To modify a settlement instruction not displayed in the task list (see Processing of Open Tasks) or among the Instruction Alerts, you need to search for the instruction you are looking for. Then you can use the **Edit** screen to make the desired changes. You may change the entries in the following fields of the **Edit** screen:

- Party Hold Status (step: Instruction Details)
- Priority (step: Additional Information)
- Partial Settlement Ind. (step: Additional Information)
- Linkages (drop-down screen section in step: Additional Information)

NOTE	Depending on the processing status and the instruction type some fields may be disabled.

TIP	The detailed description of the fields in the **Edit Settlement Instruction** screen are available in the individual Field Descriptions tables in chapter Create Settlement Instruction.



Instruction Type	Customer Reference	Settlement Date	ISIN	Quantity	Currency	Amount	Status
RFP	OCSD0000000000001	13.10.2014	AT0000720008	15		0,00	
RVP	SAD141009031c001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
DVP	SAD141009031a001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
RVP	SAD141009031d001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
DVP	SAD141009031b001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
RFP	GRA141015002p001	30.12.2014	AT0000720008	1.000			
RFP	GRA141015002a001	30.12.2014	AT0000720008	1.000			

Figure 35: Search Settlement Instructions - search result list (example: edit)

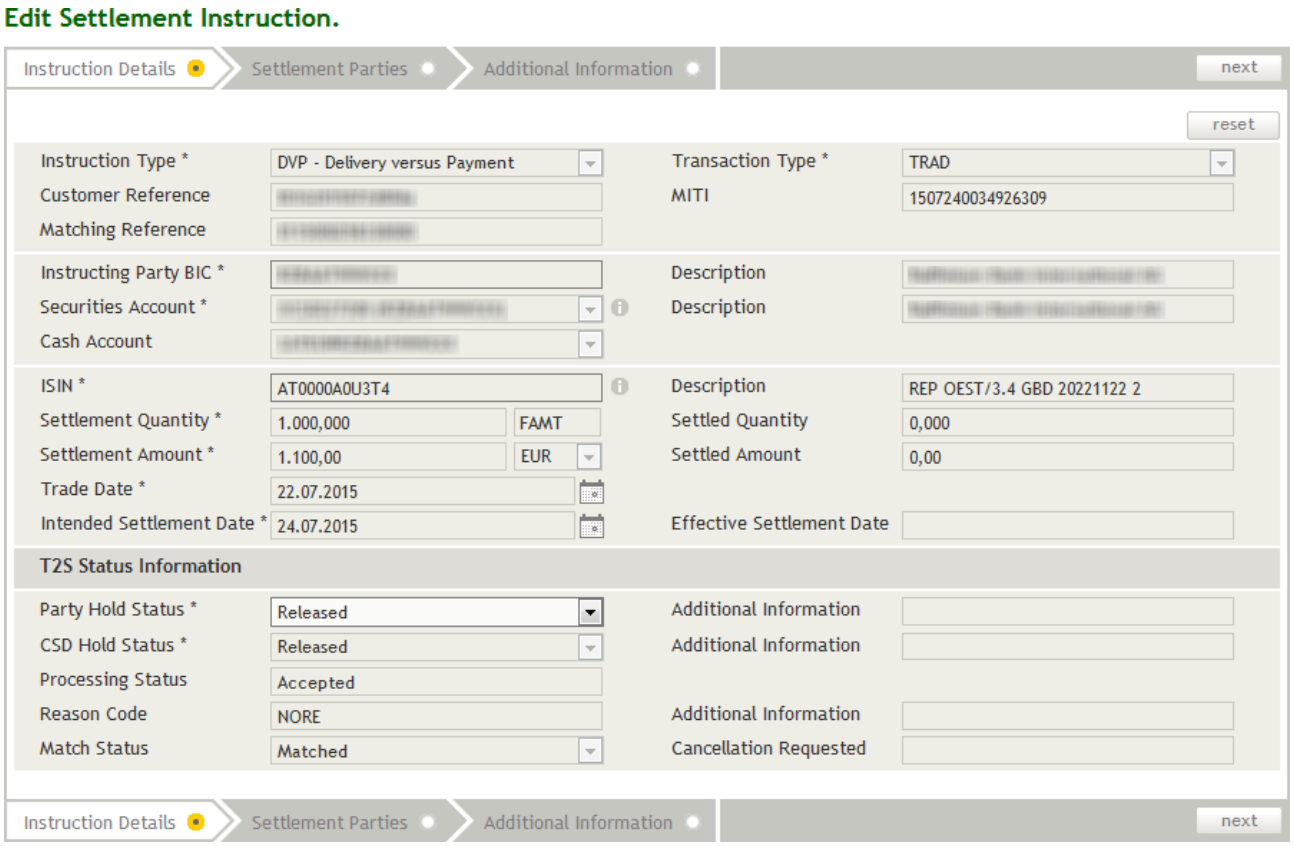


Figure 36: Edit Settlement Instruction - Instruction Details (example: RFP)

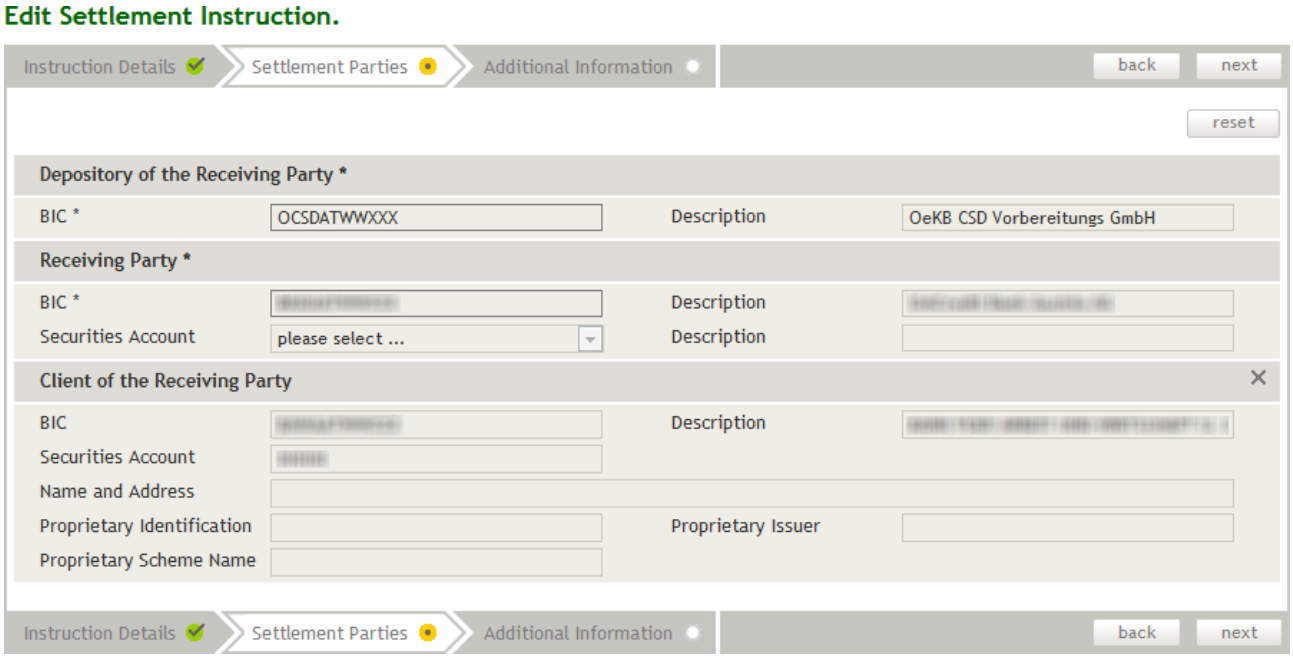


Figure 37: Edit Settlement Instruction - Parties

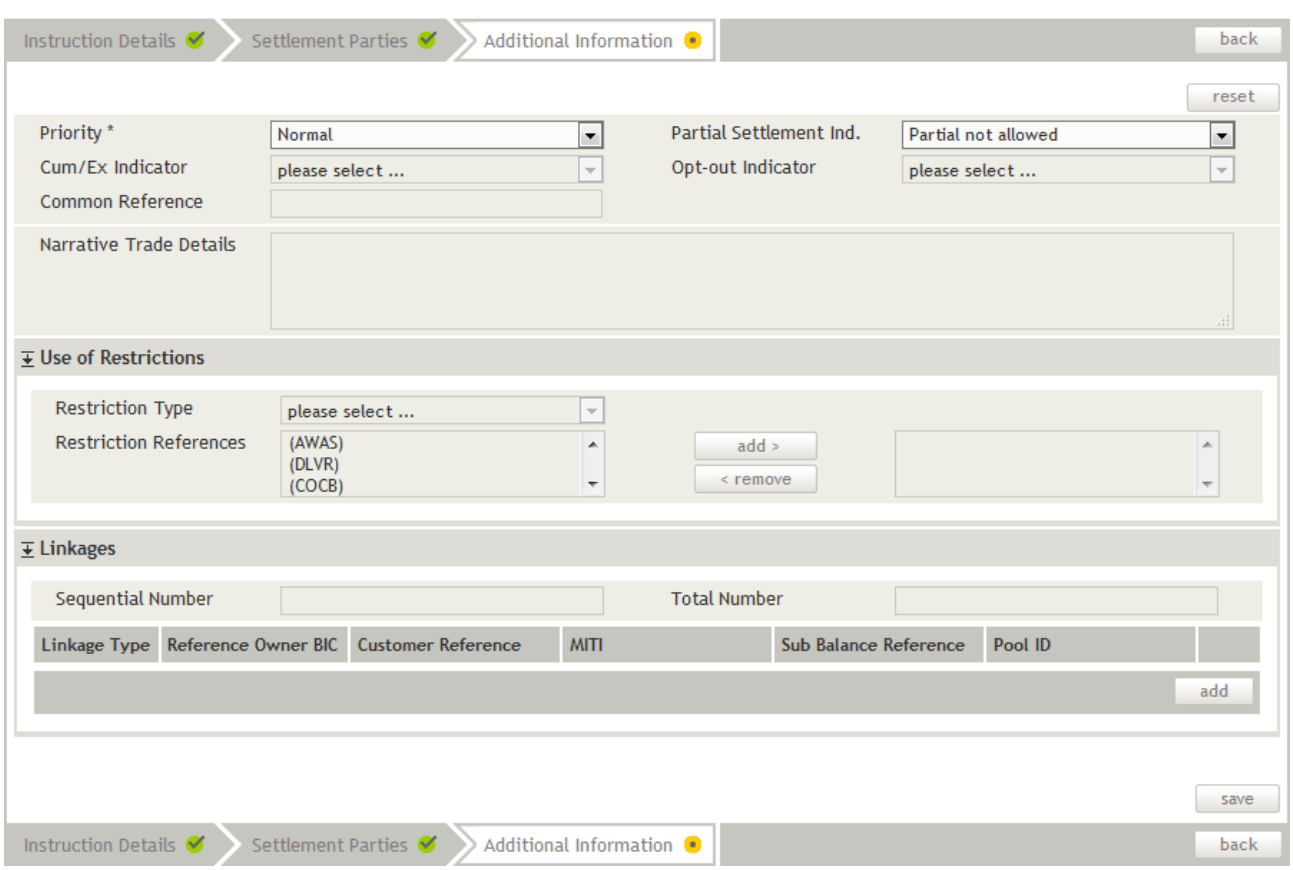


Figure 38: Edit Settlement Instruction - Additional Information

TIP	In case of instructions not yet settled the system displays the type of error and the reason why settlement has failed at the top left and the bottom left of the screen, respectively, in red typeface.

How to Modify a Settlement Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= TRAD)
- Instructing Party BIC (= inputting party)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to modify, click on the **Details** icon to open the detail view.

a2 Click **edit** to open the **Edit** screen of the record.

INFO	The system only displays the **edit** button if your user permissions allow you to modify data.

b In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Modify the record as required.

NOTE	Depending on the processing status and the instruction type some fields may be disabled.

TIP	In case of instructions not yet settled the system displays the type of error and the reason why settlement has failed at the top left and the bottom left of the screen, respectively, in red typeface.

6 Click **save** to save your changes.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Settlement Instruction Summary**, where you can verify the data you have entered. The screen includes the Message History in a separate tab.

7 Click **ok** in the **Settlement Instruction Summary** to confirm your entries.
The entry page appears.

4.2.2 Modifying a Linkage for an Instruction

The concept and modification of linkages for instructions is identical to entering linkages for instructions for the first time. See Entering Linkages for an Instruction.

4.2.3 Cancelling Settlement Instructions

If you want to cancel a settlement instruction, you need to search for the instruction you are looking for. Then you can click on the **X** icon on the right-hand side of the row which displays the instruction to be cancelled.

Instruction Type		Settlement Date		Quantity			Status
DFP	ST5MDA008	13.08.2014	AT0000383864	1.000		0,00	
RVP	BIG007e140825	27.08.2014	AT0000A0U299	10.000	EUR	9.450,00	
RFP	BIG111a140825	27.08.2014	AT0000385745	10.000		0,00	
DVP	SAD140812014c001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
DVP	SAD140812014d001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
DVP	SAD140812014n001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
DVP	SAD140812014e001	30.12.2014	AT0000720008	1.000	EUR	17.412,56	
DVP	SAD140812014f001		AT0000720008		EUR	17.412	

Figure 39: Search Settlement Instructions - search result list (example: cancel)

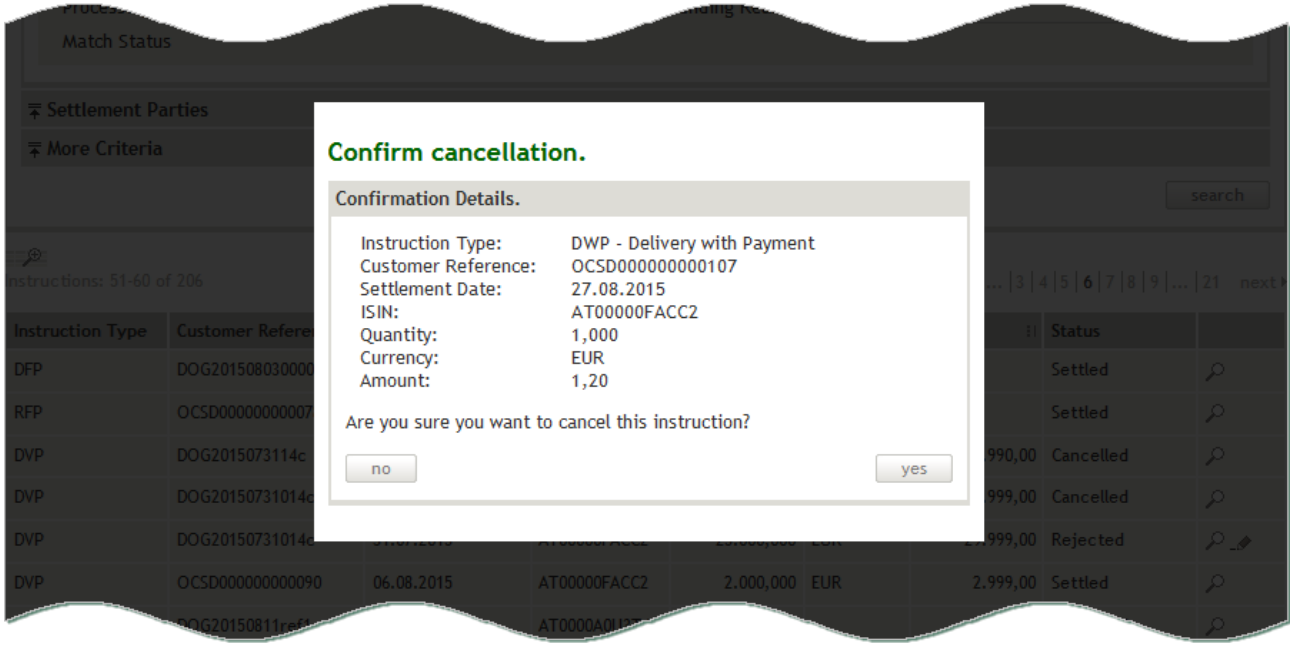


Figure 40: Confirm cancellation (settlement instruction)

How to Cancel a Settlement Instructions

Step by Step

1 In the menu bar, select *Settlement* > *Search Settlement Instructions*.
The **Search Settlement Instructions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Settlement Amount Currency (= all)
- Instruction Type (= all)
- Transaction Type (= TRAD)
- Instructing Party BIC (= inputting party)
- Securities Account (= all)
- Instruction Status (= all)
- Task Type (= all)
- Party Hold Status (= all)
- CSD Hold Status (= all)
- CSD Validation Hold Status (= all)
- CoSD Hold Status (= all)
- Processing Status (= all)
- Pending Reason Codes (= all)
- Match Status (= all)
- Priority (= all)
- Partial Settlement Ind. (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 In the row containing the instruction to be cancelled, click on the **X** icon.

5 Click **yes** in the pop-up dialog.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The instruction is cancelled and submitted to the system for processing or for 4EP authorisation.
The search result list is still available on the screen.

4.2.4 Instruction History (Settlement Instruction)

The Instruction History in the detail view of an instruction shows the detailed sequence of user actions (see Securities Accounts list) and user tasks (see Task Box) carried out for the specific instruction. It also shows all messages (inbound and outbound) of the instruction. The original messages can be accessed by clicking on the **Detail** icon.

NOTE It is not possible to edit entries in the Instruction History.

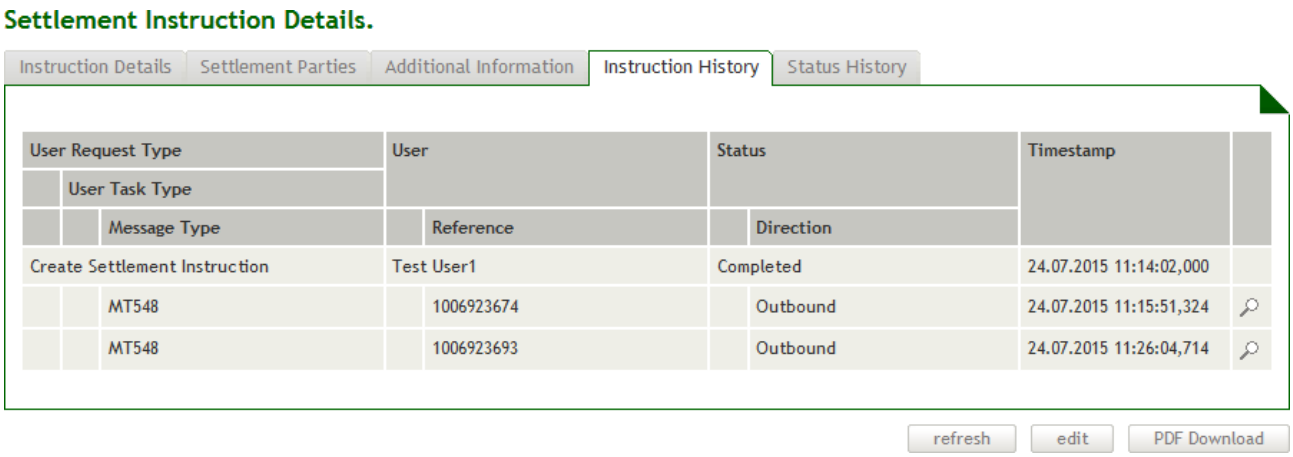


Figure 41: Instruction History

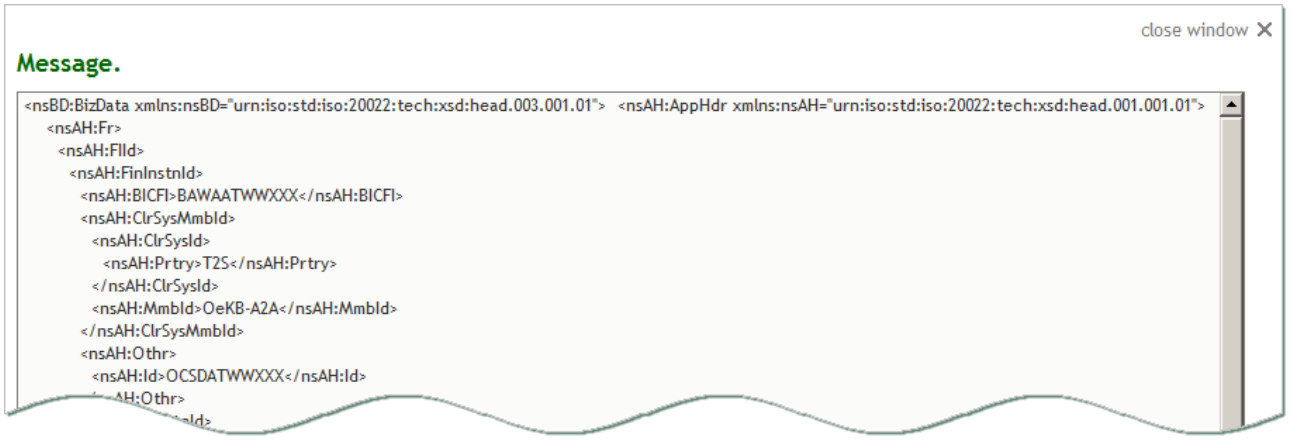


Figure 42: Instruction History (Message Detail)

4.2.5 Status History (Settlement Instruction)

The Status History in the detail view of an instruction shows the detailed sequence of status modifications applied to the specific instruction.

NOTE It is not possible to edit entries in the Status History.

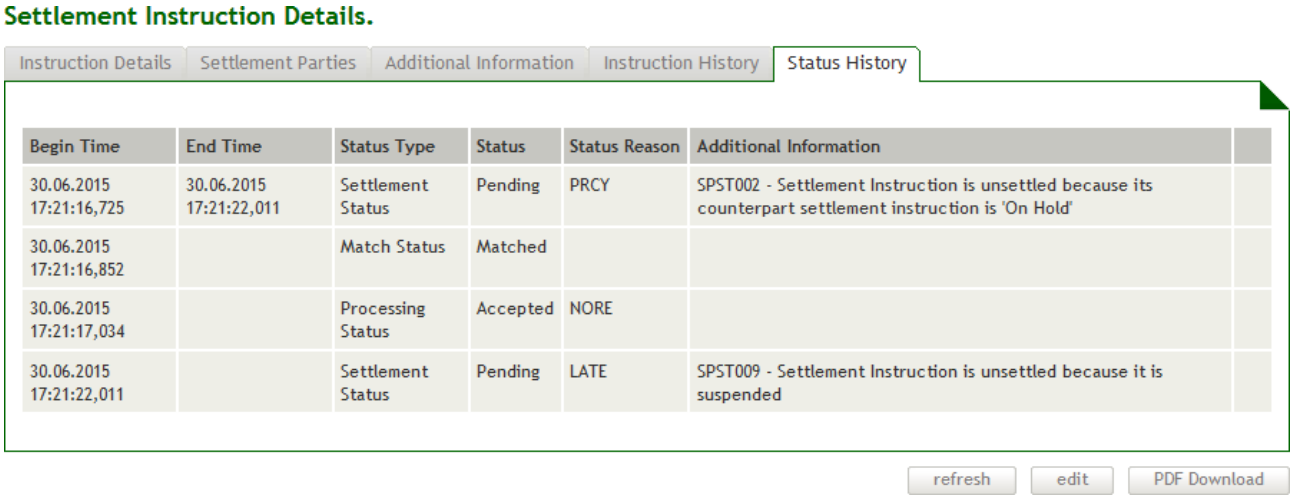


Figure 43: Status History (Settlement Instruction)

4.2.6 Field Descriptions (Search Settlement Instructions)

The description of the fields in the **Search Settlement Instructions** screen is sectioned in four parts, i.e. the four drop-down screen sections:

- Search (this section is displayed when the screen is opened for the first time, fig. 29)
- OeKB CSD Status Criteria (fig. 30)
- T2S Status Criteria (fig. 31)
- Settlement Parties (fig. 33)
- More Criteria (fig. 34)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

4.2.6.1 Search (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference				
Customer Reference	-	Customer reference of the instruction(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the instruction(s) to be found	-	16 max alphanum.
Matching Reference	-	Reference of the instruction(s) to be found assigned by T2S after matching	-	16 max alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Effective Settlement Date from - to	-	Date range within which the effective settlement date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Trade Date from - to	-	Date range within which the trade date of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Criteria				
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the instruction(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Quantity Type]	After ISIN input or selection: ▪ **FAMT** - for financial instruments with a price as percentage of par (face amount) ▪ **UNIT** - for financial instruments with a price per unit	-	-	-
Settlement Amount from - to	-	Value range within which the corresponding cash value of the instruction(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Settlement Amount Currency]	all The system searches for instructions with any currency	Selection from **CHF**, **EUR**, **GBP**, **USD**, **RUB**	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Type	all The system searches for instructions with any instruction type.	Selection from the list: ▪ **RFP** - Receive Free of Payment to search only for instructions of type **RFP** ▪ **RVP** - Receive versus Payment to search only for instructions of type **RVP**. ▪ **RWP** - Receive with Payment to search only for instructions of type **RWP**. ▪ **PFD** - Receive Free of Delivery Debit to search only for instructions of type **PFD Debit**. ▪ **DFP** - Delivery Free of Payment to search only for instructions of type **DFP**. ▪ **DVP** - Delivery versus Payment to search only for instructions of type **DVP**. ▪ **DWP** - Delivery with Payment to search only for instructions of type **DWP**. ▪ **PFD** - Receive Free of Delivery Credit to search only for instructions of type **PFD Credit**.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Transaction Type	**TRAD** - Standard Instruction The system searches only for instructions of transaction type TRAD.	Selection from the list: ▪ **CLAI** - Market Claim, to search only for instructions of type market claim ▪ **COLI** - Collateral (credit provider), to search only for instructions of type collateral (credit provider) ▪ **COLO** - Collateral (credit consumer), to search only for instructions of type collateral (credit consumer) ▪ **CORP** - Corporate Action, to search only for instructions of type corporate action ▪ **MKDW** - Decrease of Global Certificate, to search only for instructions of type decrease of global certificate ▪ **MKUP** - Increase of Global Certificate, to search only for instructions of type increase of global certificate ▪ **TRAD** - Standard Instruction, to search only for instructions of type standard instruction	Selection	-
Instructing Party BIC	BIC of the inputting party **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11
Securities Account	all The system searches for instructions with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party if a selection has been made in the **Instructing Party BIC** field **INFO** In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.

4.2.6.2 OeKB CSD Status Criteria

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	all The system searches for instructions with any instruction status.	Selection from the list: ▪ **New**, to search only for newly created instructions. ▪ **Accepted**, to search only for instructions already accepted for processing by T2S. ▪ **Pending**, to search only for instructions for which T2S has returned status Pending. ▪ **Settled**, to search only for settled instructions. ▪ **Cancelled**, to search only for cancelled instructions. ▪ **Rejected**, to search only for instructions rejected by the system.	Selection	-
Task Type	all The system searches for instructions with any type of task.	Selection from **All open tasks**, **User approval task** or **User processing task** By selecting **All open tasks** it is possible to search exclusively for all tasks not yet closed. By selecting **User approval task** it is possible to search exclusively for tasks waiting for approval by a user. By selecting **User processing task** it is possible to search exclusively for tasks with status Hold or Pending.	Selection	-

4.2.6.3 T2S Status Criteria (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party Hold Status	all The system searches for instructions with any Party **Hold** Status.	Selection between **Hold** or **Released** By selecting **Hold** it is possible e.g. to search only for preadvice instructions.	Selection	-
CSD Hold Status	all The system searches for instructions with any **Hold** status set by the OeKB CSD.	Selection between **Hold** or **Released** By selecting **Hold** it is possible to search exclusively for instructions set on status **Hold** by the OeKB CSD.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
CSD Validation Hold Status	all The system searches for instructions with any Hold status related to blocked securities accounts. For more details about blocked securities account categories and the settlement of instructions for blocked securities accounts, please refer to the *Settlement Services - Functional Guide*.	Selection between **Hold** or **Released** By selecting **Hold** it is possible e.g. to search exclusively for instructions which require other processing steps due to the blocked status of a securities account.	Selection	-
CoSD Hold Status	all The system searches for instructions with any Conditional Securities Delivery Hold status.	Selection between **Hold** or **Released** By selecting **Hold** it is possible e.g. to search exclusively for multicurrency **DVP** instructions which have not yet been settled externally.	Selection	-
Processing Status	all The system searches for instructions with any processing status.	Selection from **Accepted**, **Cancelled**, **Rejected** or **Cancellation Requested** By selecting **Accepted** it is possible to search exclusively for instructions which have already been accepted by the system for processing. By selecting **Cancelled** it is possible to search exclusively for cancelled instructions. By selecting **Rejected** it is possible to search exclusively for instructions which have been rejected by the system. By selecting **Cancellation Requested** it is possible to search exclusively for instructions for which the counterparty has submitted a cancellation.	Selection	-
Pending Reason Codes	all	Selection from the list by clicking on the icon : ▪ **BLOC** - Account Blocked ▪ **BOTH** - Both Instructions on Hold ▪ **CDLR** - Conditional Delivery Awaiting Release ▪ **CLAC** - Counterparty Insufficient Securities ▪ **CMON** - Counterparty Insufficient Money ▪ **CSDH** - CSD Hold	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
		▪ **CVAL** - CSD Validation ▪ **FUTU** - Awaiting Settlement Date ▪ **INBC** - Incomplete Number Count ▪ **LACK** - Lack Of Securities ▪ **LATE** - Market Deadline Missed ▪ **LINK** - Pending Linked Instruction ▪ **MONY** - Insufficient Money ▪ **NORE** - No Specified Reason ▪ **OTHR** - Other ▪ **PART** - Trade Settles In Partials ▪ **PRCY** - Counterparty Instruction On Hold ▪ **PREA** - Your Instruction On Hold ▪ **PRSY** - System On Hold ▪ **SBLO** - Securities Blocked		
Match Status	all The system searches for instructions with any matching status.	Selection between **Matched** or **Unmatched**	Selection	-

4.2.6.4 Settlement Parties (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Receiving Depository BIC	-	BIC of the depository of the receiving party in the instruction(s) to be found	-	BIC11
Receiving Party BIC	-	BIC of the receiving party in the instruction(s) to be found	-	BIC11
Delivering Depository BIC	-	BIC of the depository of the delivering party in the instruction(s) to be found	-	BIC11
Delivering Party BIC	-	BIC of the delivering party in the instruction(s) to be found	-	BIC11

4.2.6.5 More Criteria (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Priority	all The system searches for instructions with any priority.	Selection between **High** or **Normal** By selecting **High** it is possible e.g. to search exclusively for instructions with high priority.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Partial Settlement Ind.	all The system searches for instructions with any Partial Settlement Indicator.	Selection between **Partial allowed** or **Partial not allowed** By selecting **Partial allowed** it is possible e.g. to search for instructions where partial settlement is permitted.	Selection	-
Externally Matched	-	Selection between **yes** or **no** This functionality will be finalised at a later date.	Selection	-

5 Intra-Position Movements

Via the menu item *Settlement* you can create new intra-position movements or search for specific intra-position movements in the system.

Intra-Position Movements are used to block, reserve or earmark positions on a securities account for later use as specific positions to be settled in a settlement instruction.

5.1 Create Intra-Position Movement

How to Open the Create Intra-Position Movement Screen

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.

A detailed description of all fields, their interdependences from one another or from master data settings, and permitted input (e.g. numbers, text, dates, length, etc.) is available in the Field Descriptions table.

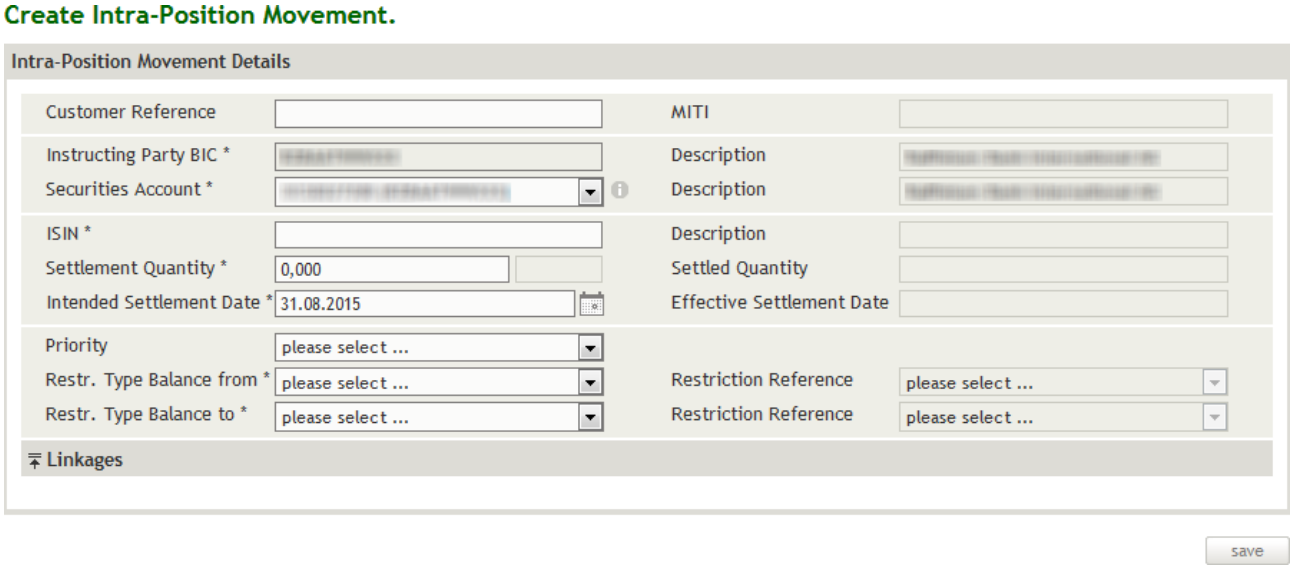


Figure 44: Create Intra-Position Movement

The following chapters are step-by-step descriptions of how to create new intra-position movements of the types

- Blocking (blocking of a securities position up to the entire position max.)
- Reservation (reservation of a securities position without limitation to the current quantity of the position)
- Earmarking (earmarking of a position, e.g. for auto-collateralisation)

INFO	To use a position labelled **Blocking** or **Reservation** in an instruction, specify the restriction reference of the blocked or reserved position intended to be used in the settlement instruction as previously specified in an intra-position movement. See Create Settlement Instruction, step Additional Information. For more information on intra-position movements, please refer to the *Settlement Services - Functional Guide*

5.1.1 Blocking a Securities Position

INFO	The restriction type **Blocking** only allows to block the quantity of securities currently available in the position.

TIP	You can use the menu items *Holdings* > *Securities Positions* to enquire the current securities positions available on a securities account.

How to Block a Securities Position (current quantity max.)

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

- Settlement Quantity (= 0,000)
- Intended Settlement Date (= current date)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required. **INFO** If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the freely available position **AWAS**.

TIP	You may also use earmarked positions for this type of intra-position movement. To do so, select the appropriate earmarked position in the **Restr. Type Balance From** field.

5 In the field **Restr. Type Balance To**, select one of the options defined for positions of the type **Blockings**.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data of the intra-position movement you have entered.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

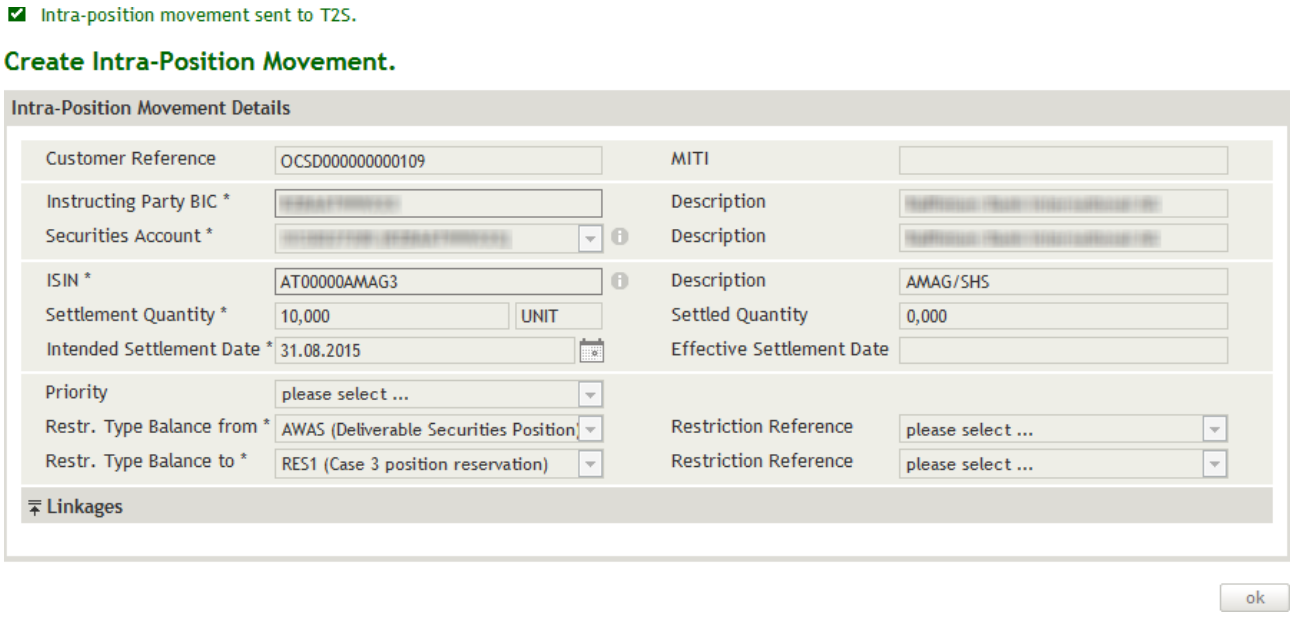


Figure 45: Create Intra-Position Movement (Summary after saving)

5.1.2 Reserving a Securities Position

INFO	If the quantity of the intra-position movement exceeds the securities available in the position. All future securities of the same ISIN booked on the same securities account will be automatically reserved until the total quantity of the reservation is covered.

TIP	With a reservation you can flag more securities for a specific purpose than currently available in the position. In this case the intra-position movements are partially settled.

How to Reserve a Securities Position on a Securities Account

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

- Settlement Quantity (= 0,000)
- Intended Settlement Date (= current date)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required. **INFO** If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the freely available position **AWAS**.

TIP	You may also use earmarked positions for this type of intra-position movement. To do so, select the appropriate earmarked position in the **Restr. Type Balance From** field.

5 In the field **Restr. Type Balance To**, select one of the options defined for positions of the type **Reservations**.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data of the intra-position movement you have entered.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.1.3 Earmarking a Securities Position

How to Earmark a Securities Position

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

> **INFO** The field **Securities Account** additionally displays the BIC of the securities account holder.

- Settlement Quantity (= 0,000)
- Intended Settlement Date (= current date)

> **NOTE** Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

> **INFO** If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

> **TIP** There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

> **INFO** The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required.
>
> **INFO** If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the freely available position **AWAS**.

> **TIP** You may also use other positions to define earmarked positions. To do so, select the appropriate blocked, reserved or another earmarked position in the **Restr. Type Balance From** field.

5 In the field **Restr. Type Balance To**, select one of the options defined for positions of the type **Earmarking**.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data of the intra-position movement you have entered.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.1.4 Entering Linkages for an Intra-Position Movement

The concept and entry of linkages for intra-position movements is identical to linkages for instructions. See Entering Linkages for an Instruction.

5.1.5 Field Descriptions (Create Intra-Position Movement)

INFO	The **Create Intra-Position Movement** screen is used as **Intra-Position Movement Detail** (when displaying an intra-position movement) with exactly the same appearance. Field values or entries which differ between these variants of the screen are listed with the descriptions of the respective fields below.

Field	Content (by system)	Entry (by user)	Length
Customer Reference	Create If left empty by the user, the system will generate a unique reference	Own reference	16 max alphanum.
	Edit / Detail View The customer reference of the instruction	-	
MITI	Create: -	-	-
	Edit / Detail View: The unique Market Infrastructure Transaction Identifier automatically assigned as soon as the intra-position movement has been accepted by the system.		

Field	Content (by system)	Entry (by user)	Length
Instructing Party BIC Mandatory field during Create (automatically completed by the system)	BIC of the inputting party	-	BIC11
[Instructing Party BIC] Description	The designation of the instructing party	-	-
Securities Account Mandatory field during Create	The securities account defined as the default	Create Selection from the securities accounts available for the instructing party **INFO** In addition to the securities account number this field shows the BIC of the securities account holder.	-
		Edit / Detail View -	
[Securities Account] Description	The designation of the selected securities account	-	-
ISIN Mandatory field during Create	Create **Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list	12 alphanum.
	Edit / Detail View The ISIN selected during creation	-	
[ISIN] Description	The designation of the financial instrument	-	-
Settlement Quantity Mandatory field during Create	Create 0.000	Quantity of the securities position to be blocked, reserved or earmarked.	Decimal number
	Edit / Detail View Quantity of the securities position to be blocked, reserved or earmarked selected during creation.	-	
[Quantity Type]	After ISIN input or selection: ▪ **FAMT** - for financial instruments with a price as percentage of par (face amount) ▪ **UNIT** - for financial instruments with a price per unit	-	-

Field	Content (by system)	Entry (by user)	Length
Settled Quantity	Create: -	-	Decimal number
	Edit / Detail View: 0,000 or in case of settled intra-position movements the settled quantity or the settled nominal value of the financial instruments		
Intended Settlement Date Mandatory field during Create (automatically completed by the system)	Create: The current date	Date of the settlement date (may be up to 60 calendar days in the past and up to 30 calendar days in the future).	DD-MM-YYYY
	Edit / Detail View: The settlement date on which the settlement of the intra-position movement was intended		
Effective Settlement Date	Create: -	-	DD-MM-YYYY
	Detail View: In case of settled intra-position movements the date of the day when the intra-position movement was actually settled		
Priority	Create Input request 'please select ...'	Selection between **Normal** or **High** Intra-position movements with priority **High** are settled before intra-position movements with priority **Normal**.	-
	Edit: It is possible to select a different Priority when editing an instruction.		
	Detail View: **Normal** or **High**	-	

Field	Content (by system)	Entry (by user)	Length
Restr. Type Balance From Mandatory field during Create	Create Input request 'please select ...'	Selection from the list: ▪ **AWAS (Deliverable Securities Position)** - available securities position (not yet included in an intra-position movement) ▪ **"BLOn" (Blocking)** - blocked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "BLO" (n= 0...9)) ▪ **"RESn" (Reserved)** - reserved securities position (labelled in an intra-position movement as **Restr. Type Balance To** "RES" (n= 0...9)) ▪ **"EARn" (Earkarming)** - earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR" (n= 0...9)) **NOTE** There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to the *Settlement Services - Functional Guide* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking.	-
	Edit / Detail View The original position entered during creation	-	
[Restr. Type Balance From] Restriction Reference	The unique reference of the securities position automatically assigned as soon as the intra-position movement has been accepted by the system.	-	-

Field	Content (by system)	Entry (by user)	Length
Restr. Type Balance To Mandatory field during Create	Create Input request 'please select ...'	Selection from the list: ▪ **AWAS (Deliverable Securities Position)** - designation as available securities position ▪ **"BLOn" (Blocking)** - designation as blocked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "BLO" (n= 0...9)) ▪ **"RESn" (Reserved)** - designation as reserved securities position (labelled in an intra-position movement as **Restr. Type Balance To** "RES" (n= 0...9)) ▪ **"EARn" (Earmarking)** - designation as earmarked securities position (labelled in an intra-position movement as **Restr. Type Balance To** "EAR" (n= 0...9)) **NOTE** There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to the *Settlement Services - Functional Guide* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking.	-
	Edit / Detail View The designated position entered during creation	-	
[Restr. Type Balance To] Restriction Reference	The unique reference of the securities position automatically assigned as soon as the intra-position movement has been accepted by the system.	-	-
Linkages	-	see Linkages (field description)	Drop-down screen section

5.2 Search Intra-Position Movements

You can search for intra-position movements in order to modify them (e.g. to increase or decrease positions) or to find out which intra-position movements are available to be assigned to instructions.

How to Open the Search Intra-Position Movement Screen

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.

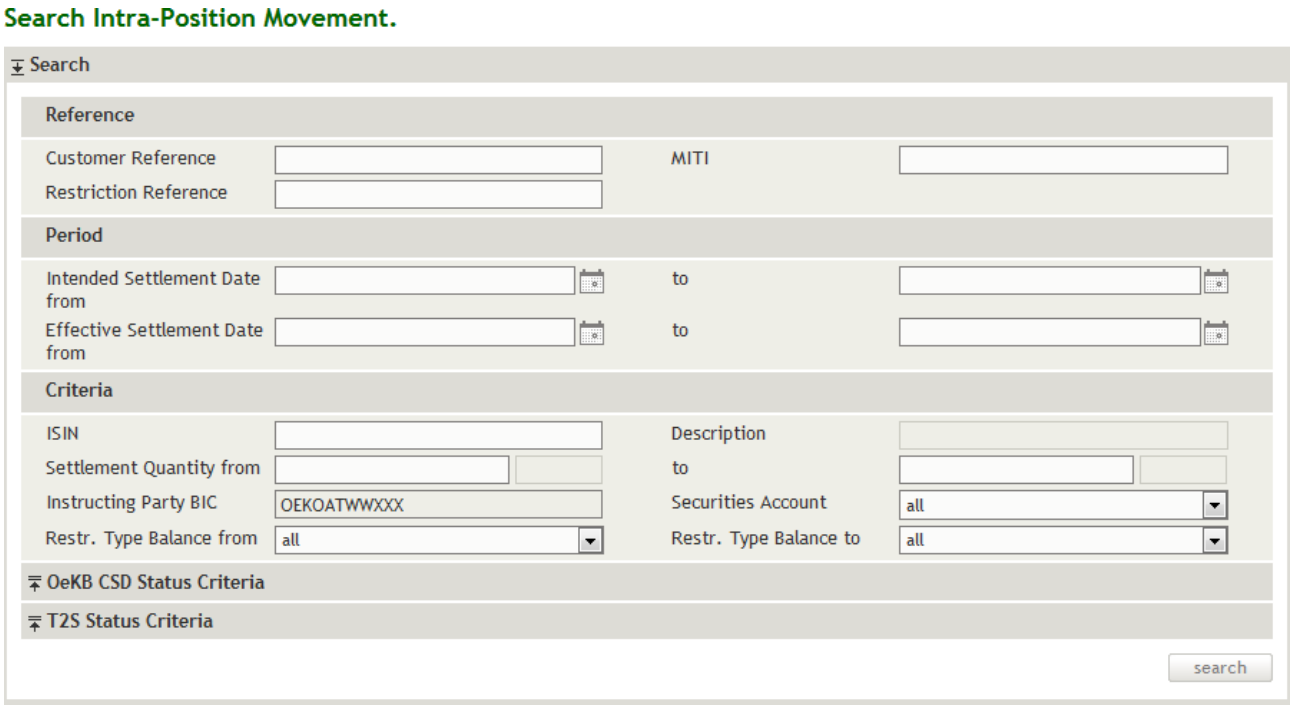


Figure 46: Search Intra-Position Movements

You can use the following drop-down screen sections to enter search criteria:

- Search (this section is displayed when the screen is opened for the first time, fig. 46)
- OeKB CSD Status Criteria (fig. 47)
- T2S Status Criteria (fig. 48)

TIP The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

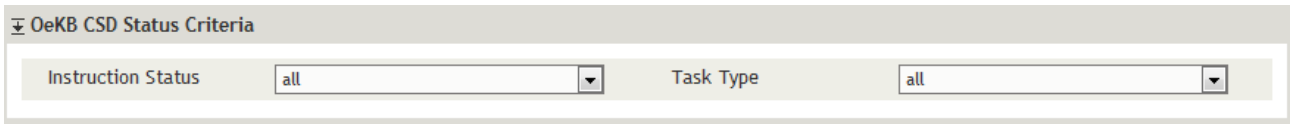


Figure 47: Search Intra-Position Movements - OeKB CSD Status Criteria

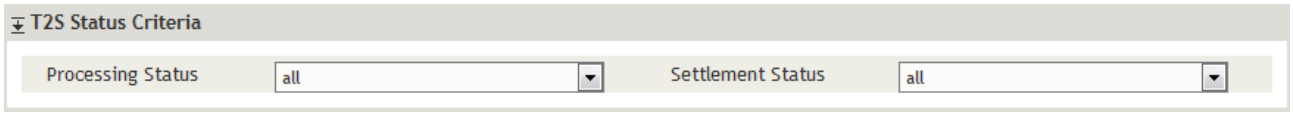


Figure 48: Search Intra-Position Movements - T2S Status Criteria

TIP	Clicking on **search** without entering search criteria lists all intra-position movements available in the system. To search for (a) specific intra-position movement(s), enter criteria in the fields which best characterise the intra-position movement you are looking for.

5.2.1 Modifying Intra-Position Movements

If you want to modify the priority of an intra-position movement or add or modify linkages for the intra-position movement, you need to search for the intra-position movement you are looking for. Then you can use the **Edit** screen to make the desired changes. You may change the entries in the following fields of the **Edit** screen:

- Priority
- Linkages (drop-down screen section)

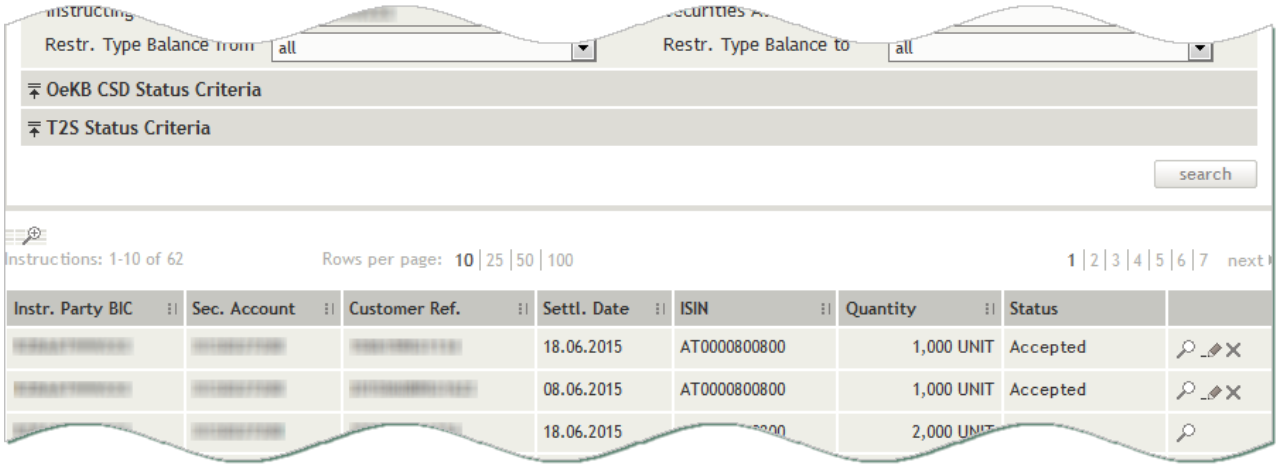


Figure 49: Search Intra-Position Movement - search result list

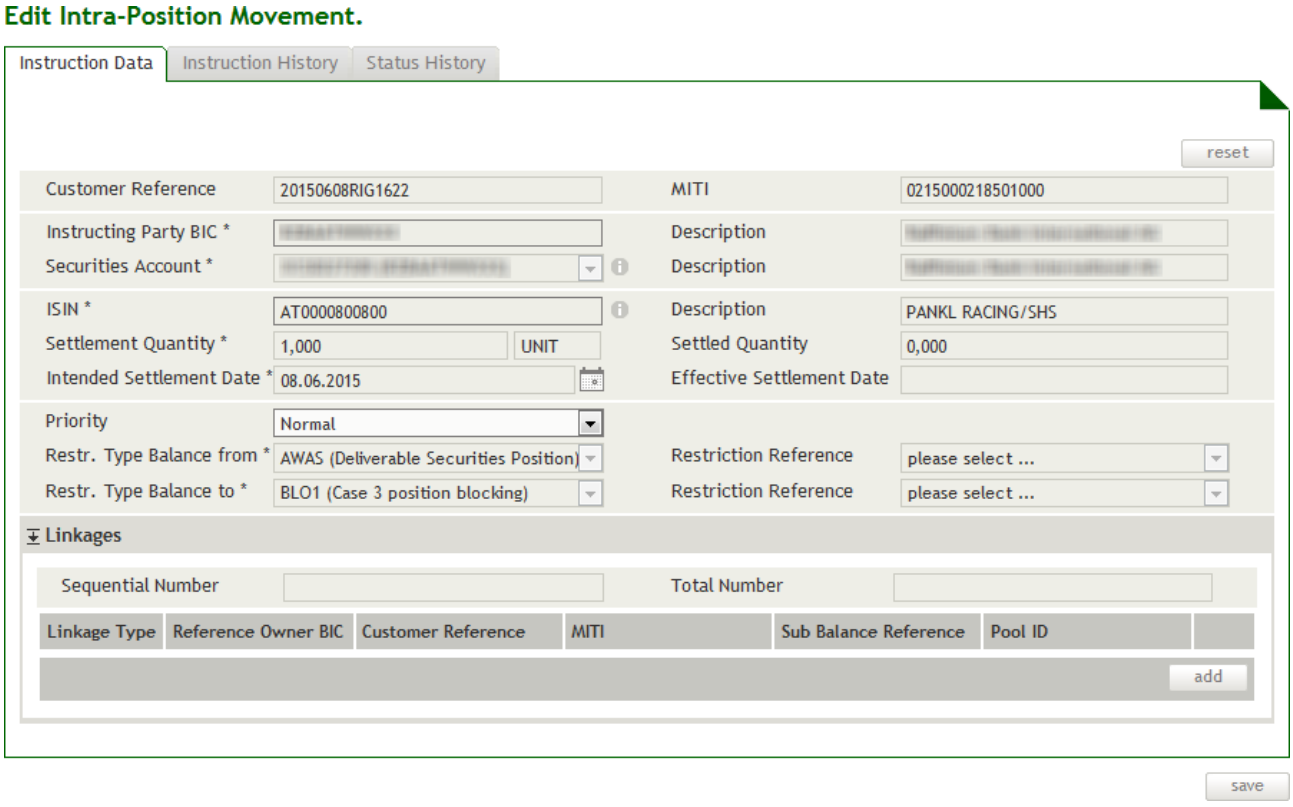


Figure 50: Edit Intra-Position Movement

How to Modify an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party)
- Securities Account (= all)
- Restr. Type Balance from (= all)
- Restr. Type Balance to (= all)
- Instruction Status (= all)
- Task Type (= all)
- Processing Status (= all)
- Settlement Status (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all intra-position movements matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to modify, click on the **Details** icon to open the detail view.

a2 Click **edit** to open the **Edit** screen of the record.

INFO	The system only displays the **edit** button if your user permissions allow you to modify data.

b In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Modify the record as required.

- Increase the position or
- decrease the position

NOTE	Depending on the processing status and the type of the intra-position movement some fields may be disabled.

6 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data of the intra-position movement you have entered.

7 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.2.2 Modifying Linkages for an Intra-Position Movement

The concept and modification of linkages for intra-position movements is identical to entering linkages for instructions. See Entering Linkages for an Instruction.

5.2.3 Increasing the Positions of an Intra-Position Movement

To increase the positions of an intra-position movement you need to create a new intra-position movement.

How to Increase the Positions of an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

- Settlement Quantity (= 0,000)
- Intended Settlement Date (= current date)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required. If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From**, select the positions type from which to allocate the securities to the blocked, reserved or earmarked position.

NOTE	There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to the *Settlement Services - Functional Guide* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking (Create Settlement Restriction)

TIP	If you want to use securities from a position already allocated to an intra-position movement, select the reference of the corresponding restriction position in the field **Restriction Reference** (Restr. Type Balance From). There are options available in the field **Restriction Rerefence** only if intra-position movements of the selected type have been previously entered.

5 In the field **Restr. Type Balance To** select the positions type of the position to which you want to allocate the securities.

6 In the field **Restriction Reference** (Rest.Type Balance To) select the reference of the intra-position movement to which you want to allocate the position.

7 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data of the intra-position movement you have entered.

8 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.2.4 Decreasing the Positions of an Intra-Position Movement

To decrease the positions of an intra-position movement you need to create a new intra-position movement.

How to Decrease the Positions of an Intra-Position Movement

Step by Step

1 In the menu bar, select *Settlement* > *Create Intra-Position Movement*.
The **Create Intra-Position Movement** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= default securities account of the inputting party) incl. Description

INFO	The field **Securities Account** additionally displays the BIC of the securities account holder.

- Settlement Quantity (= 0,000)
- Intended Settlement Date (= current date)

NOTE	Remember to verify all the fields automatically completed by the system to make sure all details have been entered correctly.

INFO	If you do not enter your own reference in the optional **Customer Reference** field, the system will automatically generate a unique reference for identification of the intra-position movement.

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument and in the field **Quantity Type** the type of listing.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 In the field **Settlement Quantity**, enter the desired quantity or nominal value (greater than 0).

INFO	The system automatically fills in the current date in the **Intended Settlement Date** field. You may modify the date if required. If you do not make a selection in the optional **Priority** field, the system will automatically assign priority **Normal**.

4 In the field **Restr. Type Balance From** select the positions type of the position where you want to decrease the securities.

NOTE	There are restrictions as to which combinations of **Restr. Type Balance From** and **Restr. Type Balance To** are permitted. For details please refer to the *Settlement Services - Functional Guide* and to the corresponding step-by-step descriptions for Blockings, Reservations and Earmarking (Create Settlement Restriction)

5 In the field **Restriction Reference** (Rest.Type Balance To) select the reference of the intra-position movement where you want to decrease the position.

6 In the field **Restr. Type Balance To** select the positions type of the position to which you want to allocate the securities.

TIP	If you want to add the securities directly to a position already allocated to an intra-position movement, select the reference of the corresponding intra-position movement in the field **Restriction Reference** (Restr. Type Balance To). There are options available in the field **Restriction Reference** only if intra-position movements of the selected type have been previously entered.

7 Click **save** to save the intra-position movement.

INFO	If an authorisation according to the 4-eyes principle is required, this record will be listed in the **Tasks waiting for approval** section of the task box until it gets authorised by a releaser.

The intra-position movement is saved and submitted to the system for processing or for 4EP authorisation. The system displays the **Intra-Position Movement Summary**, where you can verify the data of the intra-position movement you have entered.

8 Click **ok** in the **Intra-Position Movement Summary** to confirm your entries.
The entry page appears.

5.2.5 Search Intra-Position Movement

How to Search for an Intra-Position Movement Available to be Used in an Instruction

Step by Step

1 In the menu bar, select *Settlement* > *Search Intra-Position Movements*.
The **Search Intra-Position Movements** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Instructing Party BIC (= inputting party) incl. Description
- Securities Account (= all)
- Restr. Type Balance from (= all)
- Restr. Type Balance to (= all)
- Instruction Status (= all)
- Task Type (= all)
- Processing Status (= all)
- Settlement Status (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all intra-position movements matching your search criteria appears.

5.2.6 Instruction History (Intra-Position Movement)

The Instruction History in the detail view of an intra-position movement shows the detailed sequence of user actions (see modifying, increasing or decreasing intra-position movements) and user tasks (see Taskbox) carried out for the specific intra-position movement. It also shows all messages (inbound and outbound) of the intra-position movement. The original messages can be accessed by clicking on the **Detail** icon.

NOTE It is not possible to edit entries in the Instruction History.

Intra-Position Movement Details.

Instruction Data | Instruction History | Status History

User Request Type / User Task Type / Message Type	User / Reference	Status / Direction	Timestamp
Create Settlement Restriction	Test User1	Completed	18.06.2015 12:54:55,000
MT548	1005905729	Outbound	18.06.2015 12:56:11,727
MT508	1005905731	Outbound	18.06.2015 13:21:36,094

Figure 51: Instruction History - intra-position movement

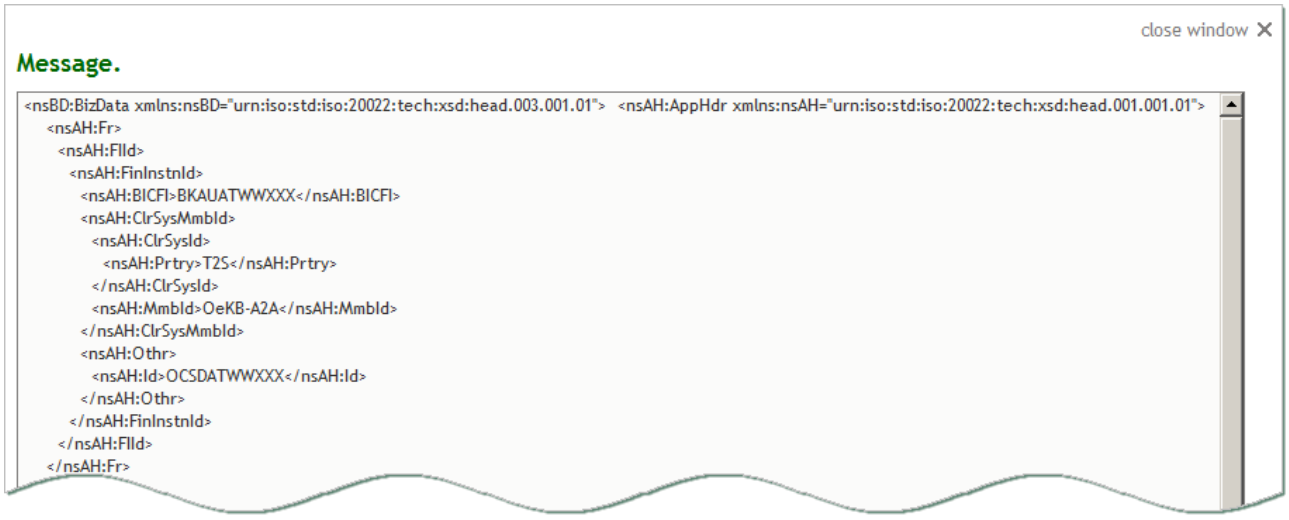


Figure 52: Instruction History - intra-position movement (message detail)

5.2.7 Status History (Intra-Position Movement)

The Status History in the detail view of an intra-position movement shows the detailed sequence of status modifications applied to the specific intra-position movement.

NOTE	It is not possible to edit entries in the Status History.

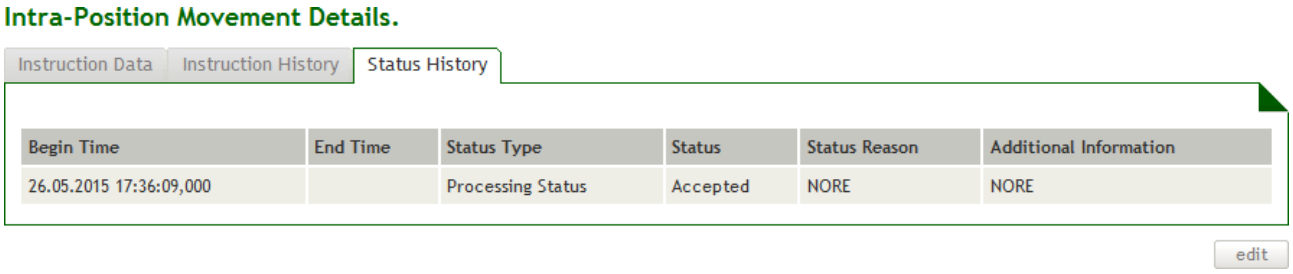


Figure 53: Status History (Intra-Position Movement)

5.2.8 Field Descriptions (Search Intra-Position Movements)

The description of the fields in the **Search Intra-Position Movements** screen is sectioned in two parts, i.e. the two drop-down screen sections:

- Search (this section is displayed when the screen is opened for the first time, fig. 46)
- OeKB CSD Status Criteria (fig. 47)
- T2S Status Criteria (fig. 48)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

5.2.8.1 Search (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference				
Customer Reference	-	Customer reference of the intra-position movement(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the intra-position movement(s) to be found	-	16 max alphanum.
Restriction References	-	Reference of the intra-position movement(s) to be found assigned by T2S after settlement	-	16 max alphanum.
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the intra-position movement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Effective Settlement Date from - to	-	Date range within which the effective settlement date of the intra-position movement(s) to be found shall lie. If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Criteria				
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the intra-position movement(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the intra-position movement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.		positive decimal number
[Quantity Type]	After ISIN input or selection: ▪ **FAMT** - for financial instruments with a price as percentage of par (face amount) ▪ **UNIT** - for financial instruments with a price per unit	-	-	-
Instructing Party BIC	BIC of the inputting party **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11
Securities Account	all The system searches for intra-position movements with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party if a selection has been made in the **Instructing Party BIC** field **INFO** In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Restr. Type Balance From	all The system searches for intra-position movements with any original restriction type.	Selection from the list: ▪ **AWAS (Deliverable Securities Position)** - freely available, to search only for intra-position movements of the original restriction type **AWAS** (position not yet allocated to an intra-position movement). ▪ **COSP (Conditional Settlement Delivery)** - reserved for instructions settled externally, to search only for intra-position movements of the original restriction type **COSP** (position labelled as reserved for instructions settled externally in an intra-position movement). ▪ **"BLOn" (Blocking)** - blocked, to search only for intra-position movements of the original restriction type **O** (n= 0...9) (position labelled as blocked in an intra-position movement). ▪ **"RESn" (Reserved)** - reserved, to search only for intra-position movements of the original restriction type **RES** (n= 0...9) (position labelled as reserved in an intra-position movement). ▪ **"EARn" (Earmarking)** - earmarked, to search only for intra-position movements of the original restriction type **BLK** (n= 0...9) (position labelled as earmarked in an intra-position movement).	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Restr. Type Balance To	all The system searches for intra-position movements with any intended restriction type.	Selection from the list: ▪ **AWAS** - freely available, to search only for restrictions of the intended restriction type **AWAS** (position not yet allocated to an intra-position movement). ▪ **COSP (Conditional Settlement Delivery)** - reserved for instructtions settled externally, to search only for intra-position movements of the intended restriction type **COSP** (position labelled as reserved for instructions settled externally in an intra-position movement). ▪ **"BLOn" (Blocking)** - blocked, to search only for intra-position movements of the intended restriction type **BLO** (n= 0...9) (position labelled as blocked in an intra-position movement). ▪ **"RESn" (Reserved)** - reserved, to search only for intra-position movements of the intended restriction type **RES** (n= 0...9) (position labelled as reserved in an intra-position movement). ▪ **"EARn" (Earmarking)** - earmarked, to search only for intra-position movements of the intended restriction type **BLK** (n= 0...9) (position labelled as earmarked in an intra-position movement).	Selection	-

5.2.8.2 OeKB CSD Status Criteria (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	all The system searches for intra-position movements with any instruction status.	Selection from the list: ▪ **New**, to search only for newly created intra-position movements. ▪ **Accepted**, to search only for intra-position movements already accepted for processing by T2S. ▪ **Pending**, to search only for intra-position movements for which T2S has returned status Pending. ▪ **Settled**, to search only for settled intra-position movements. ▪ **Cancelled**, to search only for cancelled intra-position movements. ▪ **Rejected**, to search only for intra-position movements rejected by the system.	Selection	-
Task Type	all The system searches for intra-position movements with any type of task.	Selection from **All open tasks**, **User approval task** or **User processing task** By selecting **All open tasks** it is possible to search exclusively for all tasks not yet closed. By selecting **User approval task** it is possible to search exclusively for tasks waiting for approval by a user. By selecting **User processing task** it is possible to search exclusively for tasks with status Hold or Pending.	Selection	-

5.2.8.3 T2S Status Criteria

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Processing Status	all The system searches for intra-position movements with any processing status.	Selection from **Accepted**, **Cancelled** or **Rejected** By selecting **Accepted** it is possible to search exclusively for intra-position movements which have already been accepted by the system for processing. By selecting **Cancelled** it is possible to search exclusively for cancelled intra-position movements. By selecting **Rejected** it is possible to search exclusively for intra-position movements which have been rejected by the system.	Selection	-
Settlement Status	all The system searches for intra-position movements with any settlement status.	Selection from **Unsettled**, **Partially Settled** or **Settled** By selecting **Unsettled** it is possible to search exclusively for intra-position movements for which the Intended Settlement Day has not yet arrived. For details please refer to the *Settlement Services - Functional Guide*. By selecting **Partially Settled** it is possible to search exclusively for partially settled intra-position movements for which the Intended Settlement Day has not yet arrived. For details please refer to the *Settlement Services - Functional Guide*.	Selection	-

6 Physical Instructions

Processing of physical deposits or withdrawals of securities will be implemented in the system at a later date. A description will then be added in the manual accordingly.

7 Allegements

7.1 Search Allegements

You can search for allegements to instructions to identify counterparty instructions where the own instruction is still missing or not yet processed. The system allows you to immediately create the counter instruction to an allegement.

How to Open the Search Allegements Screen

Step by Step

1 In the menu bar, select the menu item *Allegement*.
The **Search Allegements** screen appears.

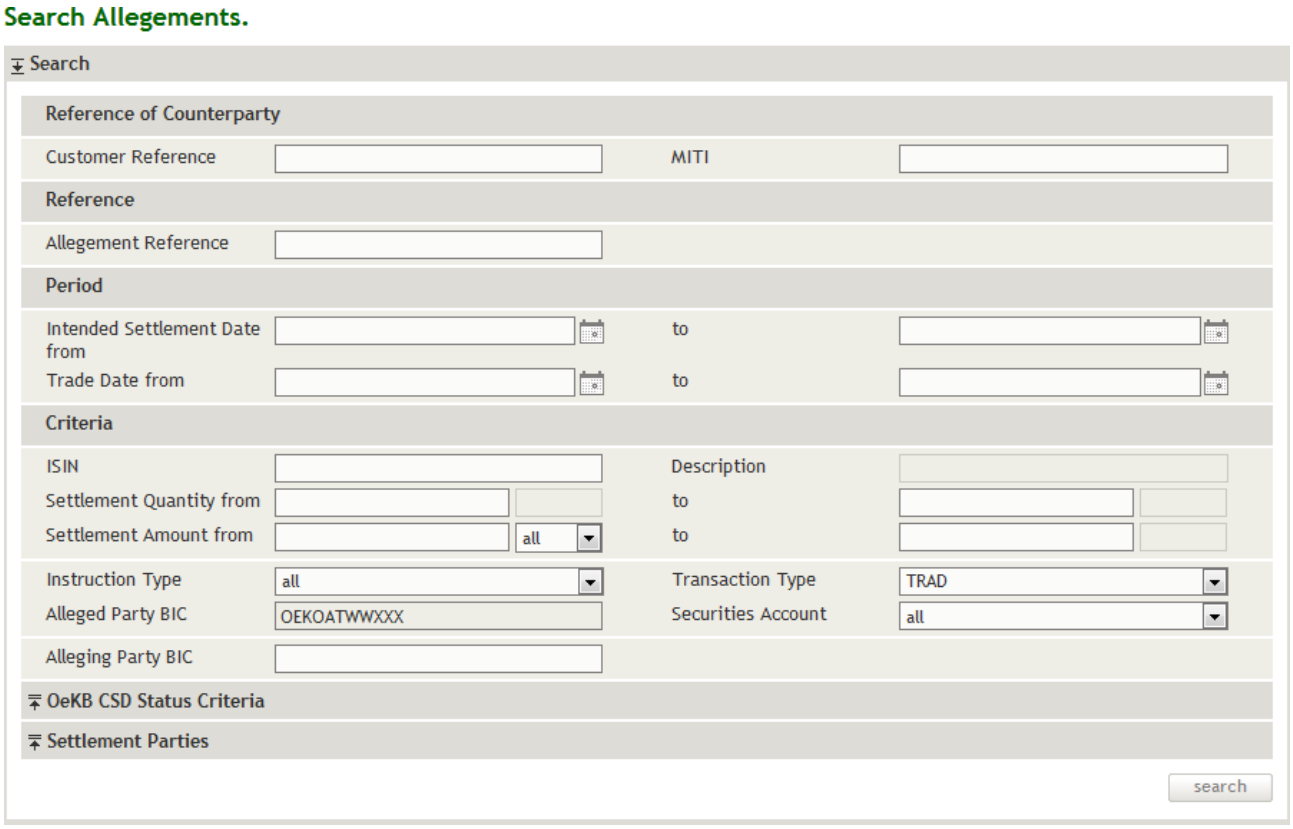


Figure 54: Search Allegements

You can use the following drop-down screen sections to enter search criteria:

- Search (this section is displayed when the screen is opened for the first time, fig. 54)
- OeKB CSD Status Criteria (fig. 55)
- Settlement Parties (fig. 56)

TIP	The system records the screen sections displayed and the search screen appears in the same way when you open it the next time.

Figure 55: Search Allegements - OeKB CSD Status Criteria

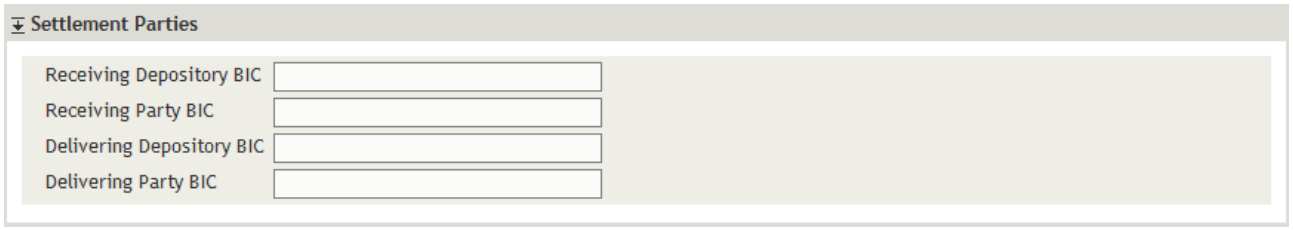


Figure 56: Search Allegements - Settlement Parties

TIP	Clicking on **search** without entering search criteria lists all allegements available in the system. To search for (a) specific allegement(s), enter criteria in the fields which best characterise the allegement you are looking for.

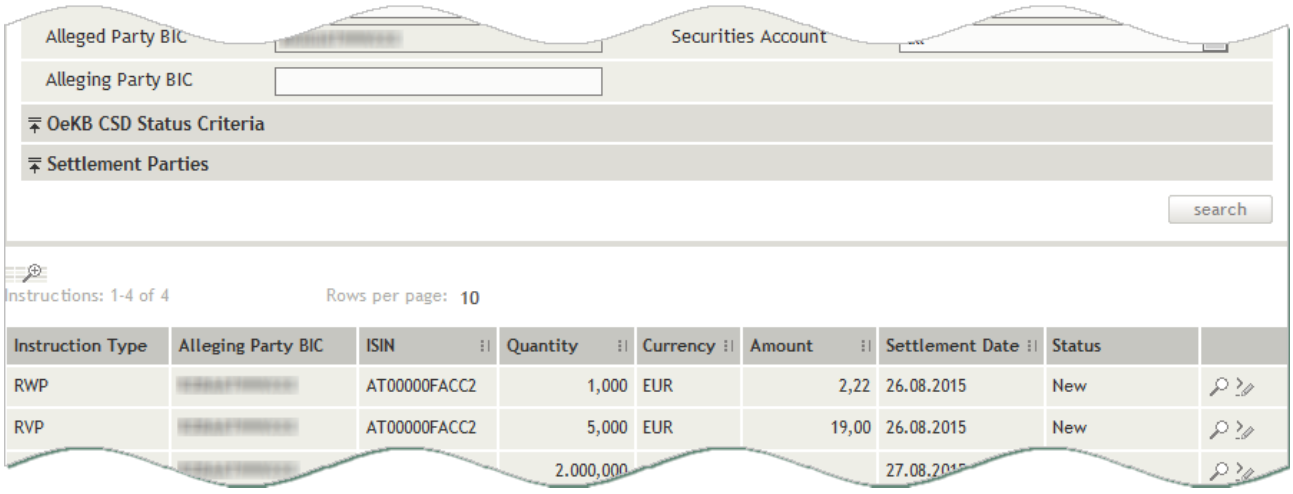


Figure 57: Search Allegements - search result list

7.1.1 Generating a Counter Instruction to an Allegement

If you want to create the counter instructions to received allegement messages, you need to search for allegements first. You can then generate the corresponding counter instruction in an immediately following step.

How to Generate a Counter Instruction to an Allegement

Step by Step

1. In the menu bar, select the menu item *Allegement*.
   The **Search Allegements** screen appears.
   The system automatically inserts the appropriate predefined values into the fields:
   - Settlement Amount Currency (= all)
   - Instruction Type (= all)
   - Transaction Type (= TRAD)
   - Alleged Party BIC (= inputting party)
   - Securities Account (= all)
   - Instruction Status (= New)
2. Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.
3. Click on the **search** button.
   The search result list containing all allegements matching your search criteria appears.
4. In the row of the allegement to which you want to generate a counter instruction, click on the **Generate CP Instruction** icon.
   The **Create Settlement Instruction** screen appears.
5. Continue entering the Settlement Instruction.

7.1.2 Field Descriptions (Search Allegements)

The description of the fields in the **Search Allegements** screen is sectioned in two parts, i.e. the two drop-down screen sections:

- Search (this section is displayed when the screen is opened for the first time, fig. 54)
- OeKB CSD Status Criteria (fig. 55)
- Settlement Parties (fig. 56)

7.1.2.1 Search (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Reference of Counterparty				
Customer Reference	-	Customer reference of the allegement(s) to be found	-	16 max alphanum.
MITI	-	Market Infrastructure Transaction Identifier of the allegement(s) to be found	-	16 max alphanum.
Reference				
Allegement Reference	-	Reference of the allegement(s) to be found assigned by T2S after settlement	-	16 max alphanum.
Period				
Intended Settlement Date from - to	-	Date range within which the intended settlement date of the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Trade Date from - to	-	Date range within which the trade date of the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Criteria				
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	ISIN of the allegement(s) to be found Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Settlement Quantity from - to	-	Value range within which the quantity or nominal value of the financial instrument in the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Quantity Type]	After ISIN input or selection: ▪ **FAMT** - for financial instruments with a price as percentage of par (face amount) ▪ **UNIT** - for financial instruments with a price per unit	-	-	-
Settlement Amount from - to	-	Value range within which the corresponding cash value of the allegement(s) to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the value that has been entered. If you are searching for a specific quantity, enter the same value into both fields.	-	positive decimal number
[Settlement Amount Currency]	all The system searches for allegements with any currency.	Selection from **CHF**, **EUR**, **GBP**, **USD, RUB**	Selection	3 alphanum.

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Type	all The system searches for allegements with any instruction type.	Selection from the list: ▪ **RFP** - Receive Free of Payment to search only for allegements of type **RFP**. ▪ **RVP** - Receive versus Payment to search only for allegements of type **RVP**. ▪ **RWP** - Receive with Payment to search only for allegements of type **RWP**. ▪ **PFD** - Receive Free of Delivery Debit to search only for allegements of type **PFD Debit**. ▪ **DFP** - Delivery Free of Payment to search only for allegements of type **DFP**. ▪ **DVP** - Delivery versus Payment to search only for allegements of type **DVP**. ▪ **DWP** - Delivery with Payment to search only for allegements of type **DWP**. ▪ **PFD** - Receive Free of Delivery Credit to search only for allegements of type **PFD Credit**.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Transaction Type	**TRAD** - Standard Instruction The system searches only for allegements of transaction type TRAD.	Selection from the list: ▪ **all** - to search for allegements with any transaction type ▪ **CLAI** - Market Claim, to search only for allegements of type market claim ▪ **COLI** - Collateral (credit provider), to search only for allegements of type collateral (credit provider) ▪ **COLO** - Collateral (credit consumer), to search only for allegements of type collateral (credit consumer) ▪ **CORP** - Corporate Action, to search only for allegements of type corporate action ▪ **MKDW** - Decrease of Global Certificate, to search only for allegements of type decrease of global certificate ▪ **MKUP** - Increase of Global Certificate, to search only for allegements of type increase of global certificate ▪ **TRAD** - Standard Instruction, to search only for allegements of type standard instruction	Selection	-
Alleged Party BIC	BIC of the inputting party **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Securities Account	all The system searches for allegements with any securities account of the inputting party.	Selection from the securities accounts available for the instructing party if a selection has been made in the **Instructing Party BIC** field **INFO** In addition to the securities account number this field shows the BIC of the securities account holder.	Selection	35 max alphanum.
Alleging Party BIC	-	BIC of the party who created the allegement as an instruction where the inputting party is the counterparty	-	BIC11

7.1.2.2 OeKB CSD Status Criteria

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Instruction Status	New The system searches for allegements with status **New**	Selection from **all**, **New, Removed** or **Cancelled** By selecting **all** it is possible to search for allegements of any instruction status. By selecting **New** it is possible to search exclusively for newly created allegements. By selecting **Removed** it is possible to search exclusively for allegements for which a counter instruction has already been created. By selecting **Cancelled** it is possible to search exclusively for allegements to instructions which have been cancelled.	Selection	-

7.1.2.3 Settlement Parties (Screen Section)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Receiving Depository BIC	-	BIC of the depository of the receiving party in the allegement(s) to be found	-	BIC11
Receiving Party BIC	-	BIC of the receiving party in the allegement(s) to be found	-	BIC11
Delivering Depository BIC	-	BIC of the depository of the delivering party in the allegement(s) to be found	-	BIC11
Delivering Party BIC	-	BIC of the delivering party in the allegement(s) to be found	-	BIC11

8 Holdings

8.1 Securities Positions

Securities positions may be displayed either by ISIN or by securities account.

How to Open the Securities Positions Screen

Step by Step

1 In the menu bar, select *Holdings* > *Securities Positions*.
The **Securities Positions** screen appears.

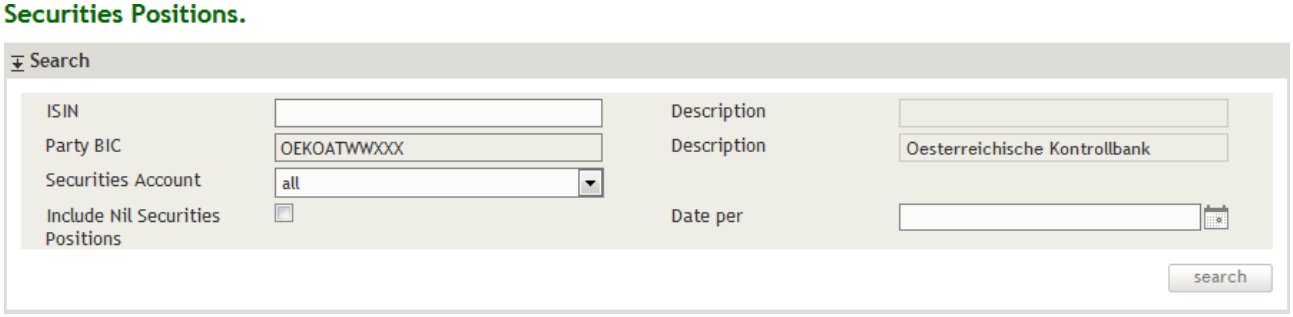


Figure 58: Securities Positions

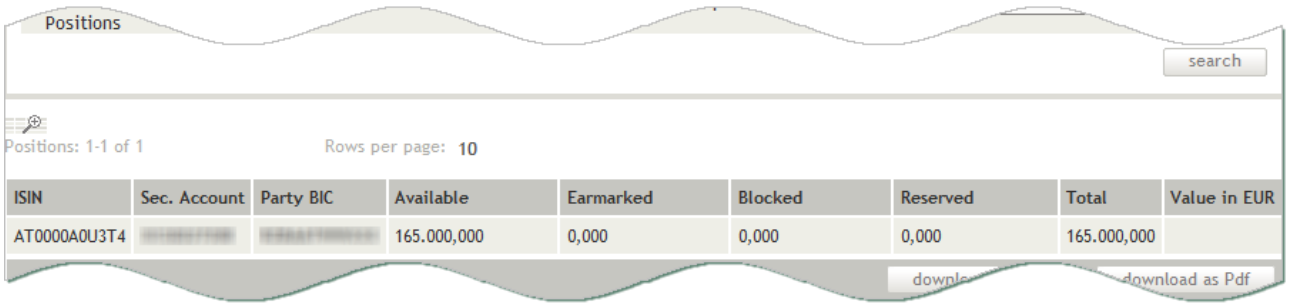


Figure 59: Securities Positions - search result list

TIP	The links in the columns **Earmarked**, **Blocked** and **Reserved** allow you to display the associated subbalances of the position.

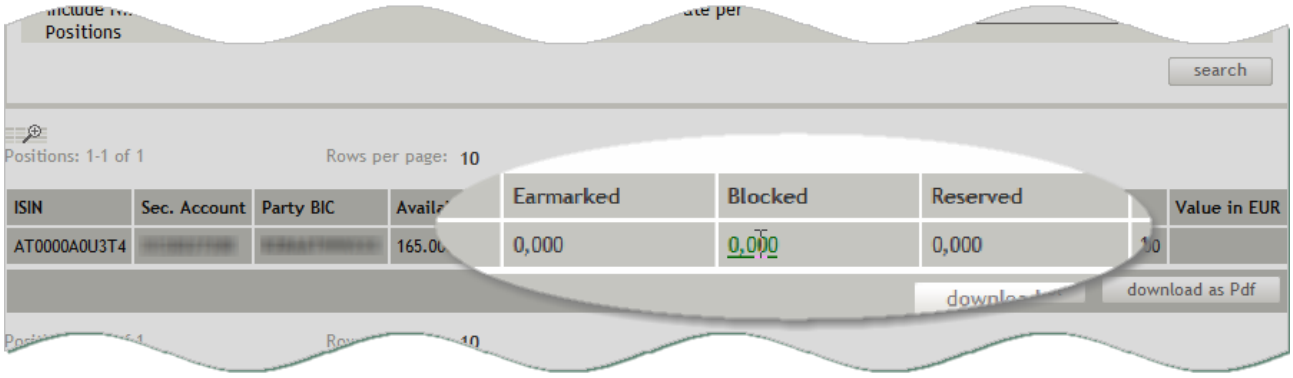


Figure 60: Securities Positions - links to subbalances

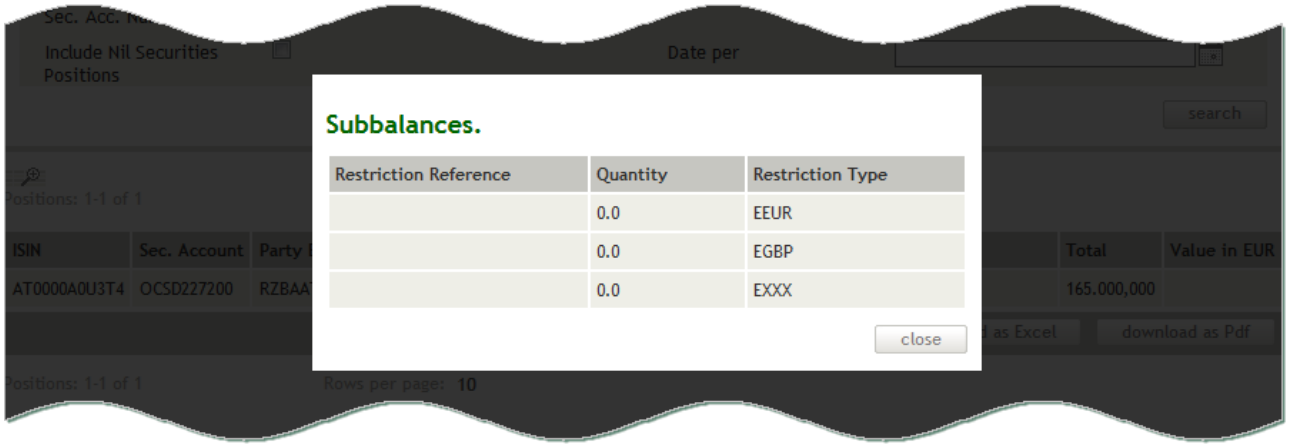


Figure 61: Securities Positions - subbalances (pop-up dialog)

8.1.1 Displaying Securities Positions by Financial Instrument (ISIN)

With the securities position enquiry by ISIN you can enter an ISIN to find out which securities accounts hold positions of this financial instrument, where OeKB CSD is holding the securities for you and whether these positions are available, earmarked, blocked or reserved.

How to Display the Securities Positions of a Financial Instrument by Entering its ISIN

Step by Step

1 In the menu bar, select *Holdings* > *Securities Positions*.
The **Securities Positions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= enquiring party) incl. Description
- Securities Account (= all)

2 In the field **ISIN**, enter the desired financial instrument.
In the field **Description**, the system automatically completes the details stored for the selected financial instrument.

TIP	There is an auto-complete function available in the **ISIN** field: You need only enter the country code; the system will then suggest a list of available ISIN.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to enquire, click on the amount displayed in the columns **Earmarked**, **Blocked** or **Reserved** to follow the integrated link to the subbalances.
The pop-up dialog appears.

a2 Click on the button **close** to return to the **Securities Positions** screen.

b Click on the **download as Excel** button to save the data in a Microsoft Excel file.

c Click on the **download as PDF** button to save the data in a PDF file.

8.1.2 Displaying Securities Positions by Securities Account

With the securities position enquiry by securities account you can enter a securities account to find out which securities positions are held on this securities account, where OeKB CSD is holding the securities for you and whether these positions are available, earmarked, blocked or reserved.

How to Display the Securities Positions of a Financial Instrument on a Securities Account

Step by Step

1 In the menu bar, select *Holdings* > *Securities Positions*.
The **Securities Positions** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= enquiring party) incl. Description
- Securities Account (= all)

2 In the field **Securities Account**, select the securities account from the securities accounts available for the instructing party.

3 Click on the **search** button.
The search result list containing all instructions matching your search criteria appears.

4 You have the following options:

a1 In the row of the record you want to enquire, click on the amount displayed in the columns **Earmarked**, **Blocked** or **Reserved** to follow the integrated link to the subbalances.
The pop-up dialog **Subbalances** appears.

a2 Click on the button **close** to return to the **Securities Positions** screen.

b Click on the **download as Excel** button to save the data in a Microsoft Excel file.

c Click on the **download as PDF** button to save the data in a PDF file.

8.1.3 Field Descriptions (Securities Positions)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the enquiring party or BIC of the securities account holder **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	all The system searches for securities positions with any securities account of the inputting party or of the securities account holder.	Selection from the securities accounts available for the securities account holder	Selection	35 max alphanum.
Include Nil Securities Positions	Empty check box	Activating the check box includes securities positions which hold no current positions, but held positions some time in the past, in the search result list	-	-
Date per	-	Reference date used to display securities positions **INFO** This field shows the positions by the end of day of the previous day, plus positions of the current day	-	DD-MM-YYYY

8.2 Securities Posting Items

It is possible to display the bookings of a securities transaction.

How to Open the Securities Posting Items Screen

Step by Step

1 In the menu bar, select *Holdings* > *Securities Posting Items*.
The **Securities Posting Items** screen appears.

Securities Posting Items.

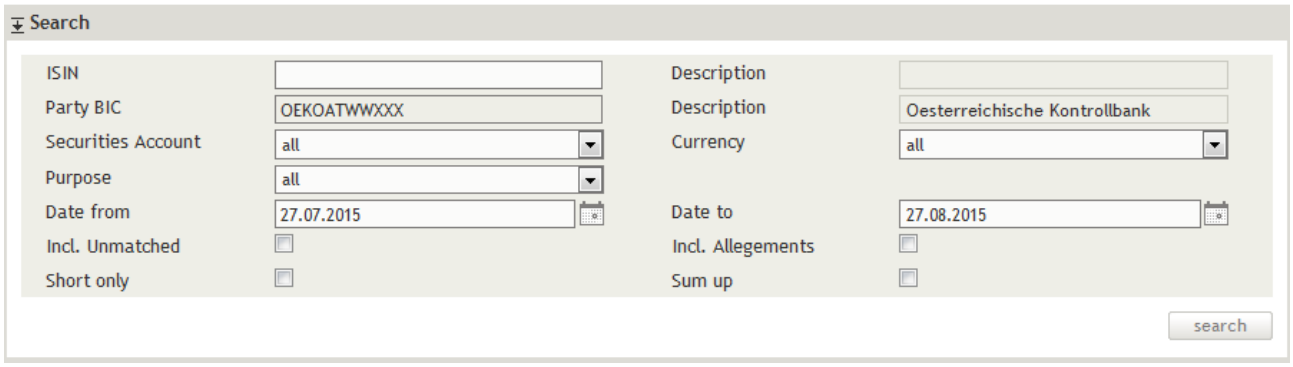
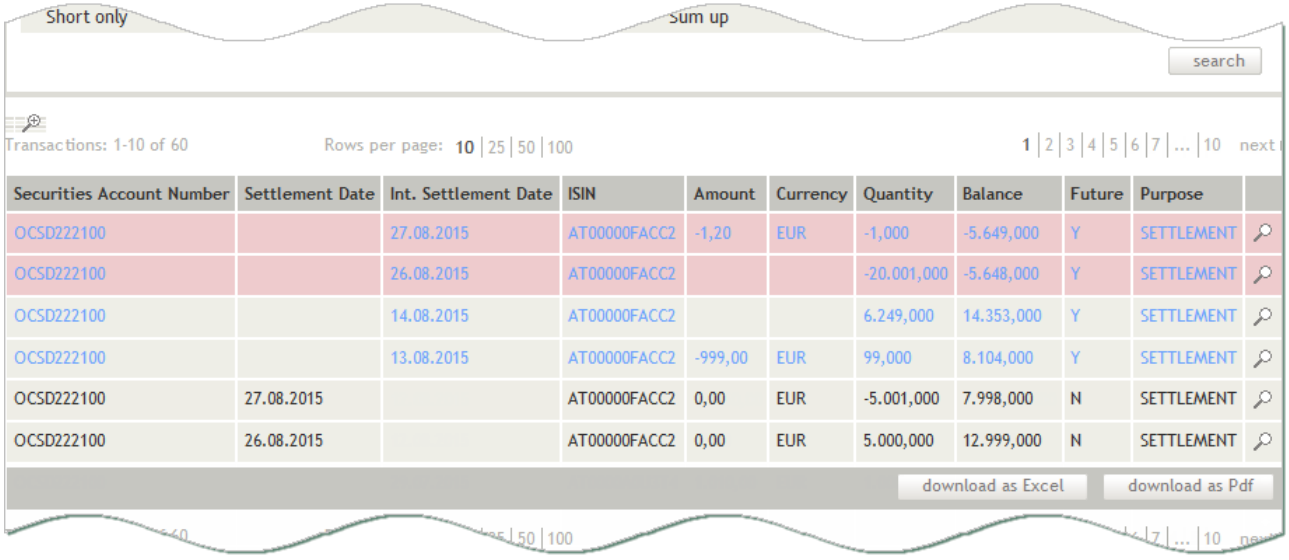


Figure 62: Securities Posting Items


Short only
Sum up
search
Transactions: 1-10 of 60
Rows per page: 10 | 25 | 50 | 100
1 | 2 | 3 | 4 | 5 | 6 | 7 | ... | 10 next
download as Excel
download as Pdf

Securities Account Number	Settlement Date	Int. Settlement Date	ISIN	Amount	Currency	Quantity	Balance	Future	Purpose
OCSD222100		27.08.2015	AT00000FACC2	-1,20	EUR	-1,000	-5.649,000	Y	SETTLEMENT
OCSD222100		26.08.2015	AT00000FACC2			-20.001,000	-5.648,000	Y	SETTLEMENT
OCSD222100		14.08.2015	AT00000FACC2			6.249,000	14.353,000	Y	SETTLEMENT
OCSD222100		13.08.2015	AT00000FACC2	-999,00	EUR	99,000	8.104,000	Y	SETTLEMENT
OCSD222100	27.08.2015		AT00000FACC2	0,00	EUR	-5.001,000	7.998,000	N	SETTLEMENT
OCSD222100	26.08.2015		AT00000FACC2	0,00	EUR	5.000,000	12.999,000	N	SETTLEMENT

Figure 63: Securities Posting Items - search result list

8.2.1 Displaying Securities Posting Items

With the securities posting items enquiry you can determine when the bookings of a securities transaction were effected on which securities accounts. You may use the ISIN to search for specific financial instruments or enter a securities account number to display the posting items for a securities account.

How to Enquire for Securities Posting Items

Step by Step

1 In the menu bar, select *Holdings* > *Securities Posting Items*.
The **Securities Posting Items** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= enquiring party) incl. Description
- Securities Account (= all)
- Currency (= all)
- Purpose (= all)
- Date from (= date one month before the current date)
- Date to (= current date)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all bookings matching your search criteria appears.

8.2.2 Colour Codes of the Search Result List

Colour Code	Explanation
Black font	Settled securities posting item
Blue font	Not yet settled securities posting item
Grey background	Securities posting item with expected coverage
Red background	Securities posting item with expected insufficient coverage

8.2.3 Field Descriptions (Securities Posting Items)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
ISIN	**Auto-Complete**: After input of the country code the system suggests a list of ISIN.	Country code, then selection from the suggested list	Selection list after input of country code	12 alphanum.
[ISIN] Description	The designation of the financial instrument	-	-	-
Party BIC	BIC of the enquiring party or BIC of the securities account holder **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	all The system searches for securities posting items on all securities accounts of the securities account holder	Selection from the securities accounts available for the securities account holder	Selection	35 max alphanum.
Currency	all The system searches for securities bookings with any currency	Selection from **CHF**, **EUR**, **GBP**, **USD**, **RUB**	Selection	-
Purpose	all The system searches for securities bookings with any purpose.	Selection from **Settlement**, **Clearing** or **Corporate Action** By selecting **Settlement** it is possible e.g. to search exclusively for cash movements associated with settlement transactions. By selecting **Clearing** it is possible e.g. to search exclusively for cash movements associated with clearing transactions. By selecting **Corporate Action** it is possible e.g. to search exclusively for cash movements associated with corporate actions.	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Date from - to	**Date from**: one month before the current date **Date to**: The current date	Date range within which the settlement date of the securities posting item to be found shall lie If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields. **INFO** If the date range lies in the future, the date considered is the intended settlement date; if the date range lies in the past, it is the effective settlement date.	Calendar icon	DD-MM-YYYY
Incl. Unmatched	Empty check box	Activating the check box includes unmatched securities posting items in the search result list. **TIP** Activating this check box may be helpful if the end date of the search date range lies in the future.	-	-
Incl. Allegements	Empty check box	Activating the check box includes allegements to the securities posting items in the search result list.	-	-
Short only	Empty check box	Activating the check box limits the posting items displayed in the search result list to bookings with insufficient coverage. **TIP** Activating this check box may be helpful if the end date of the search date range lies in the future.	-	-
Sum up	Empty check box	Activating the check box shows the summed-up amounts per day in the search result list.	-	-

8.3 Search Cash Preview

The cash preview shows the cash movements related to securities settlement instructions over a period of time.

How to Open the Search Cash Preview Screen

Step by Step

1 In the menu bar, select *Holdings* > *Cash Preview*.
The **Search Cash Preview** screen appears.

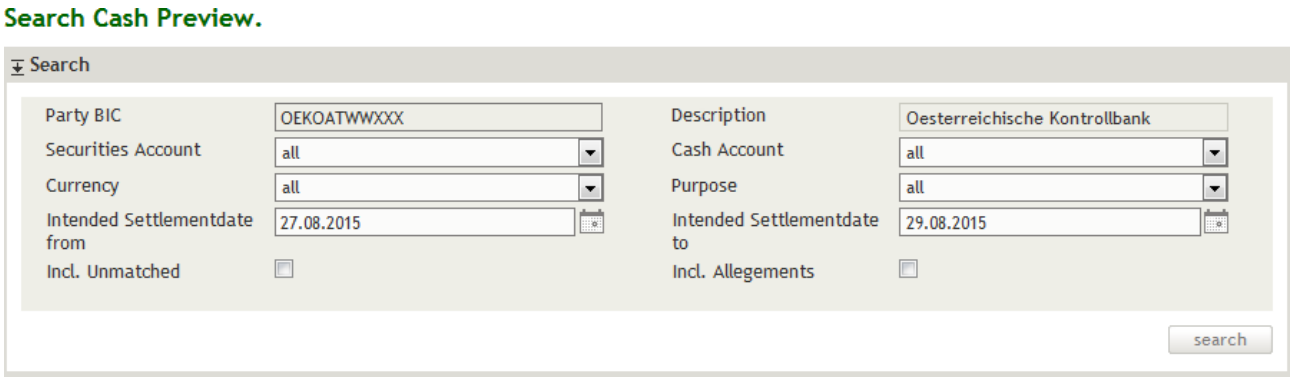


Figure 64: Search Cash Preview

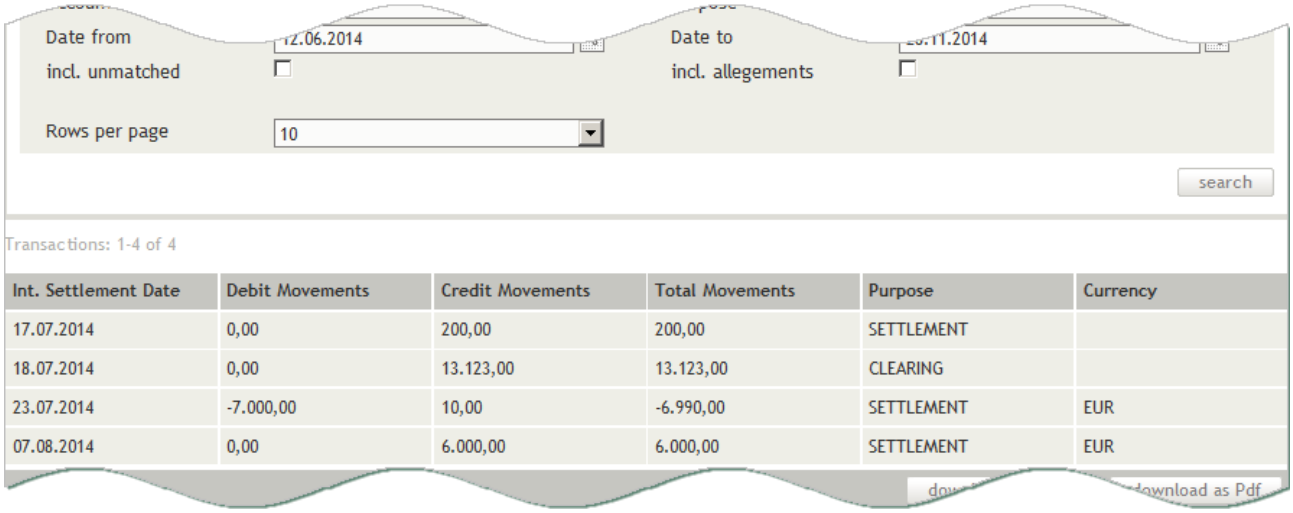


Figure 65: Search Cash Preview - search result list

8.3.1 Displaying the Cash Balance

With the cash preview you can determine the cash balance on a securities account for a specified (future) period of time.

Step by Step

1 In the menu bar, select *Holdings* > *Cash Preview*.
The **Search Cash Preview** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= inputting party) incl. Description
- Securities Account (= all)
- Cash Account (= all)
- Currency (= all)
- Purpose (= all)
- Intended Settlement Date from (= date one month before the current date)
- Intended Settlement Date to (= date one month after the current date)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all cash movements matching your search criteria appears.

8.3.2 Field Descriptions (Search Cash Preview)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the inputting party or BIC of the securities account holder **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	all The system displays the cash balance of all securities accounts of the securities account holder	Selection from the securities accounts available for the securities account holder	Selection	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Cash Account	all The system displays the cash balance of all cash accounts for the selected securities account of the securities account holder	Selection from the cash accounts available for the selected securities account INFO The selection in this field becomes available after a securities account has been selected in the **Securities Account** field.	Selection	-
Currency	all The system displays the cash balance for all currencies	Selection from **CHF**, **EUR**, **GBP**, **USD**, **RUB**	Selection	-
Purpose	all The system searches for cash movements with any purpose.	Selection from **Settlement**, **Clearing** or **Corporate Action** By selecting **Settlement** it is possible e.g. to search exclusively for cash movements associated with settlement transactions. By selecting **Clearing** it is possible e.g. to search exclusively for cash movements associated with clearing transactions. By selecting **Corporate Action** it is possible e.g. to search exclusively for cash movements associated with corporate actions.	Selection	-
Intended Settlement Date from - to	**Date from**: one month before the current date **Date to**: one month after the current date	Date range within which the intended settlement date for the cash preview of the selected securities account shall lie. If you leave one of the fields empty, the system will search starting from or ending with the date that has been entered. If you are searching for a specific day, enter the same date into both fields.	Calendar icon	DD-MM-YYYY
Incl. Unmatched	Empty check box	Activating the check box includes unmatched securities posting items in the search result list. TIP Activating this check box may be helpful if the end date of the search date range lies in the future.	-	-

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Incl. Allegements	Empty check box	Activating the check box includes allegements to the securities posting items in the search result list.	-	-

9 Message Subscription

The message subscription (Administration) controls the receipt of SWIFT messages. There can be several message subscription rules defined for each securities account. A message is sent if at least one subscription rule so requires. For details please refer to the *Settlement Services - Functional Guide*.

NOTE	The functions in the *Administration* menu are only available to users with administrator user permissions.

INFO	Message subscriptions are automatically assigned in the securities account master data when the account is created. The default setting automatically activates the receipt of all messages.

You can use the message subscription to restrict the message types which will be received.

9.1 Search Message Subscription

You can search for message subscriptions in order to modify them.

How to Open the Search Message Subscription Screen

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.

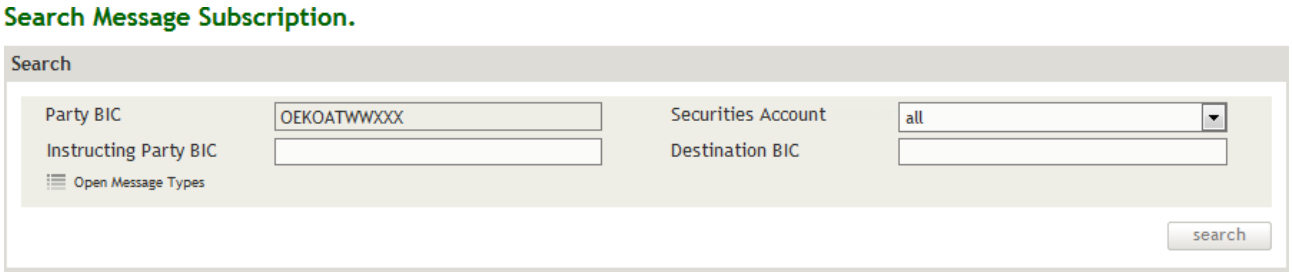


Figure 66: Search Message Subscription

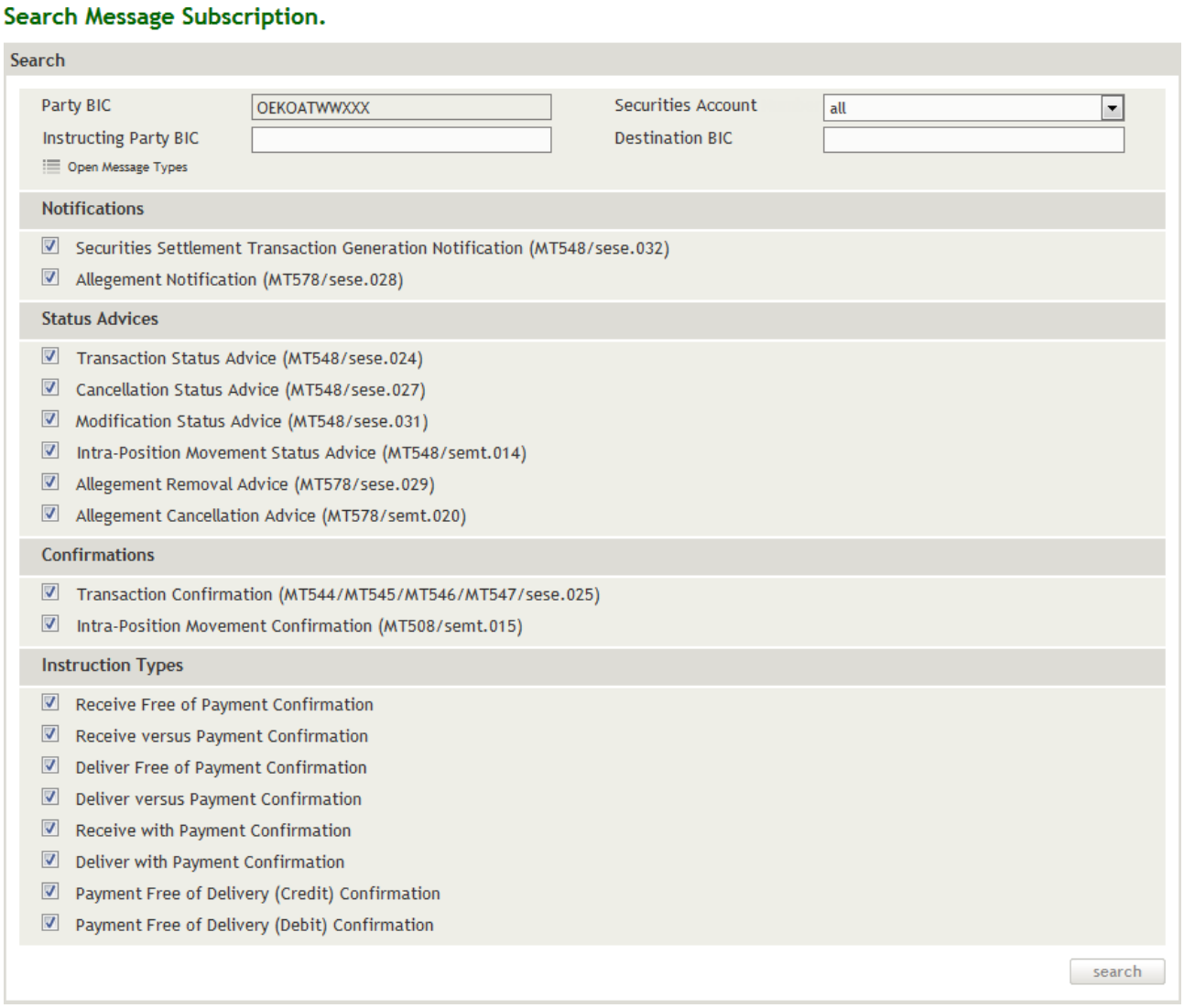


Figure 67: Search Message Subscription - Open Message Types

9.1.1 Modifying a Message Subscription

To modify a message subscription for a specific securities account, you need to search for the message subscription you are looking for. Then you can use the **Edit** screen to make the desired changes.

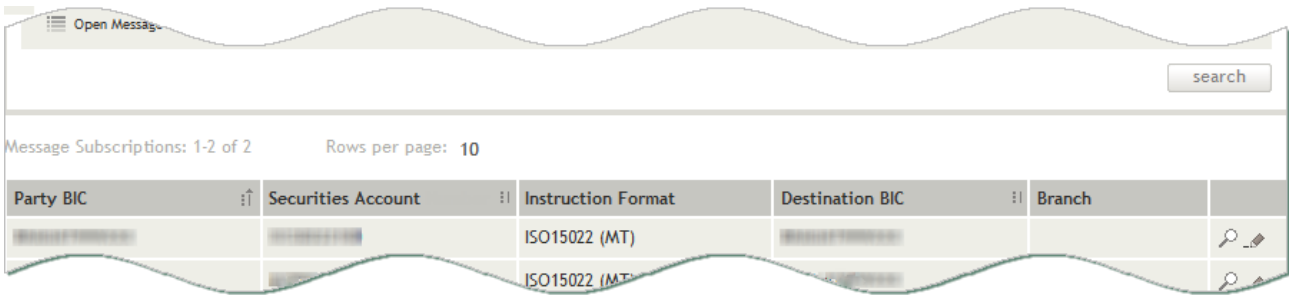


Figure 68: Search Message Subscription - search result list

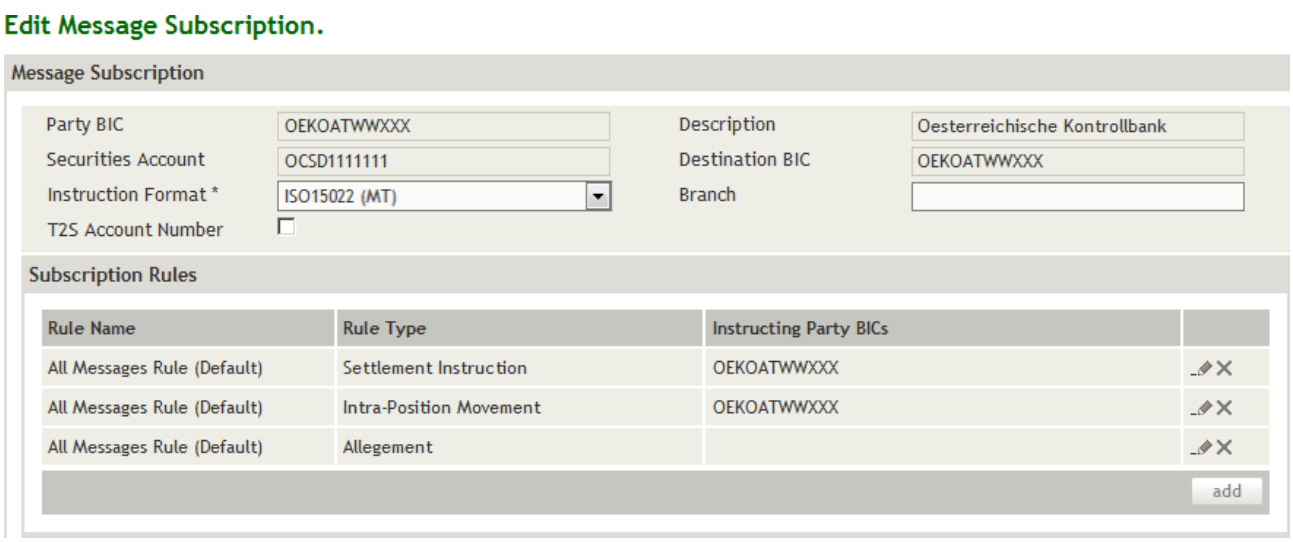


Figure 69: Edit Message Subscription

How to Modify a Message Subscription

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.
The system automatically inserts the appropriate predefined values into the fields:

- Party BIC (= inputting party)
- Securities Account (= all)

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

5 Modify the record as required.

6 Modify the existing message subscription rules as required or add new rules.

7 Click **save** to save your changes.

9.1.2 Field Descriptions (Search Message Subscription)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the securities account holder **Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	Selection from all authorised parties Input of the first or two consecutive characters of the BIC, then selection from the suggested list **INFO** If there is only one authorised party (the inputting party), no entry is accepted in this field	Selection list after input of the first or of two consecutive character(s)	BIC11
Securities Account	all The system searches for message subscriptions of all securities accounts of the securities account holder.	Selection from the securities accounts available for the securities account holder	Selection	-
Instructing Party BIC	**Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	BIC of the party specified as the instructing party in the message subscription(s) to be found. Input of the first or two consecutive characters of the BIC, then selection from the suggested list	List of available parties	BIC11
Destination BIC	**Auto-Complete**: After input of the first or two consecutive characters of the BIC the system suggests a list of BICs. The complete list of all parties available in the system is displayed after putting the cursor into the field and hitting the arrow down key on the keyboard.	BIC of the party specified as the receiver of messages in the message subscription(s) to be found. Input of the first or two consecutive characters of the BIC, then selection from the suggested list	List of available parties	BIC11
Open Message Types	All check boxes ticked	Activation of the check boxes of all message types which you want the system to look for, so you can modify them.	-	-

9.1.3 Field Descriptions (Edit Message Subscription)

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the holder of the securities account defined in the selected message subscription.	-	-	BIC11
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	Securities account defined in the selected message subscription.	-	-	-
Destination BIC	BIC of the party specified as message receiver in the selected message subscription	-	-	BIC11
Instruction Format Mandatory Field (automatically completed by the system)	The instruction format selected in the securities account master data	Selection from **ISO15022 (MT)** or **ISO20022 (MX)**	Selection	-
Branch	-	Branch code for which the defined subscription rules shall apply	-	BIC11
T2S Account Number	Empty check box The messages contain the securities account number in the new format, starting with "OCSD".	If you activate (tick) the check box, the securities account number in the messages will be displayed in the old format.	-	-
Subscription Rules	List of the rules defined for the selected message subscription	see Message Subscription Rules	-	-

9.2 Message Subscription Rules

Use the **Edit Message Subscription** screen to modify, delete or add message subscription rules.

9.2.1 Modifying a Message Subscription Rule

If you want to modify a message subscription rule, you need to start in the **Edit Message Subscription** screen.

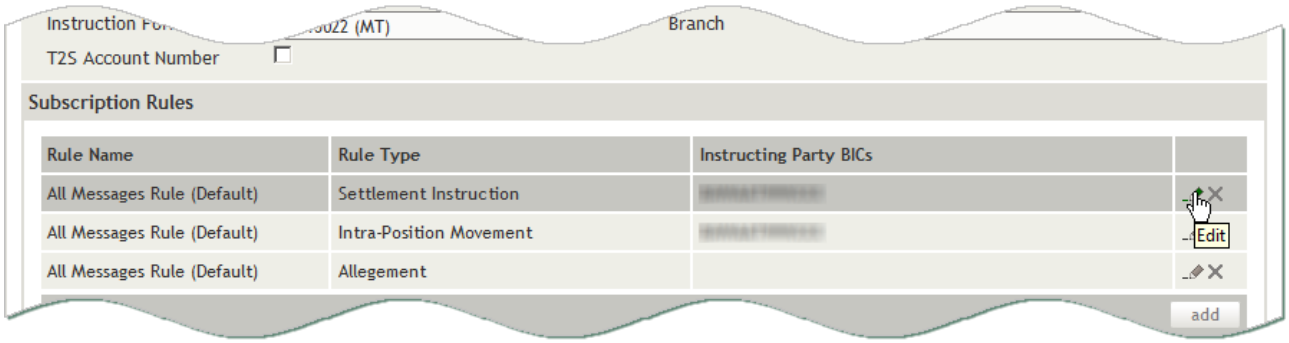


Figure 70: Subscription Rules - List (example: edit)

Message Subscription Rule.

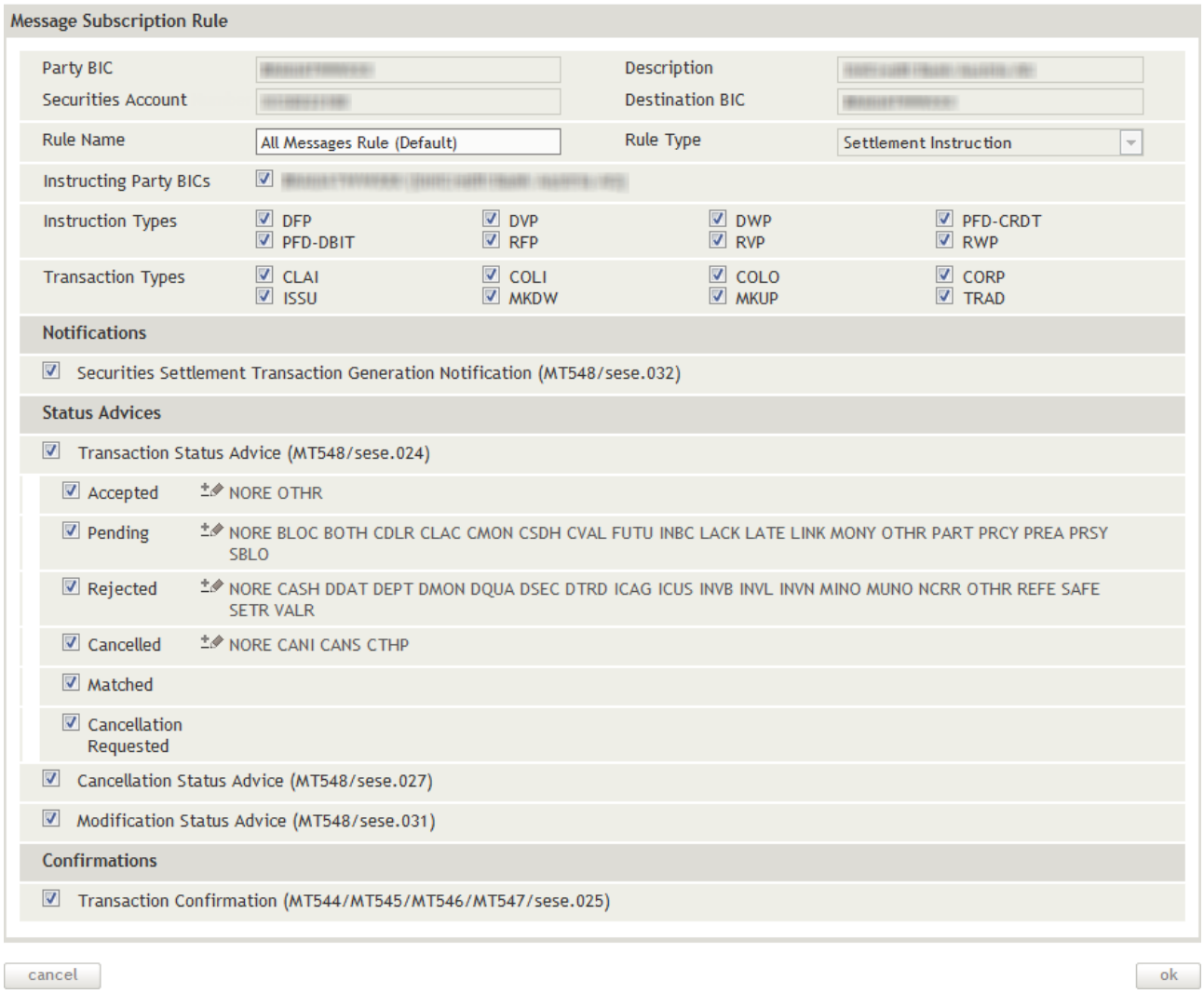


Figure 71: Message Subscription Rule (example: edit Settlement Instruction Rule)

How to Modify a Message Subscription Rule

Step by Step

1. In the menu bar, select *Administration* > *Message Subscriptions*.
   The **Search Message Subscription** screen appears.
2. Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.
3. Click on the **search** button.
   The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

The **Edit Message Subscription** screen appears.

5 In the row of the record you want to change in the **Subscription Rules** list, click on the **Edit** icon to open the **Message Subscription Rule** screen.

6 Activate or deactivate the check boxes to modify the settings as required (for details on the parameters, please see the Field Descriptions).

TIP	For the transaction status advices **Accepted**, **Pending**, **Rejected** and **Cancelled** in subscription rules of the type **Settlement Instruction** you may specify on a reason code level whether to receive or not to receive message.

7 Click **ok** to confirm your changes.
The **Edit Message Subscription** screen appears again.

8 Click **save** to save your changes.
At the top of the screen the system displays a confirmation as soon as your modifications have been saved.

9.2.2 Deleting a Message Subscription Rule

If you want to delete a message subscription rule, you need to start in the **Edit Message Subscription** screen.

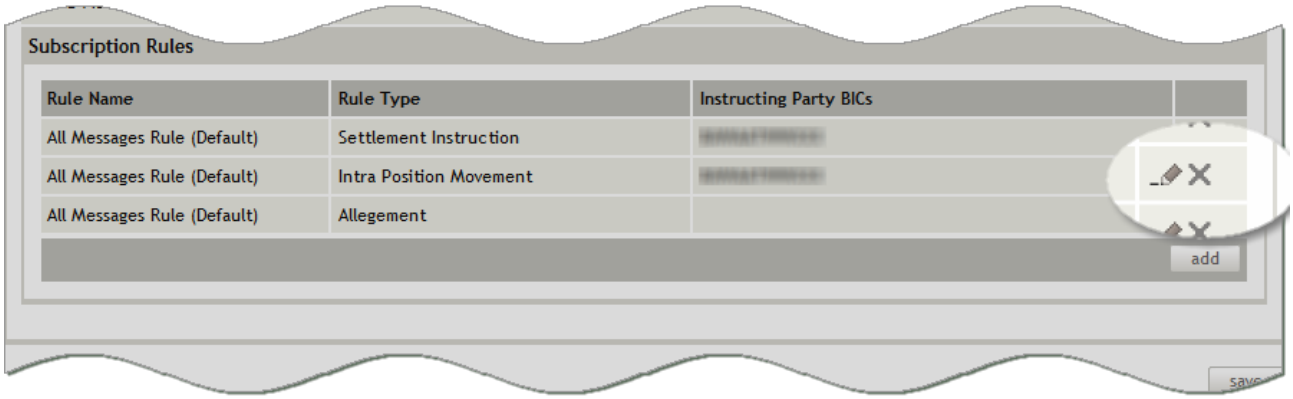


Figure 72: Subscription Rules - List (example: delete)

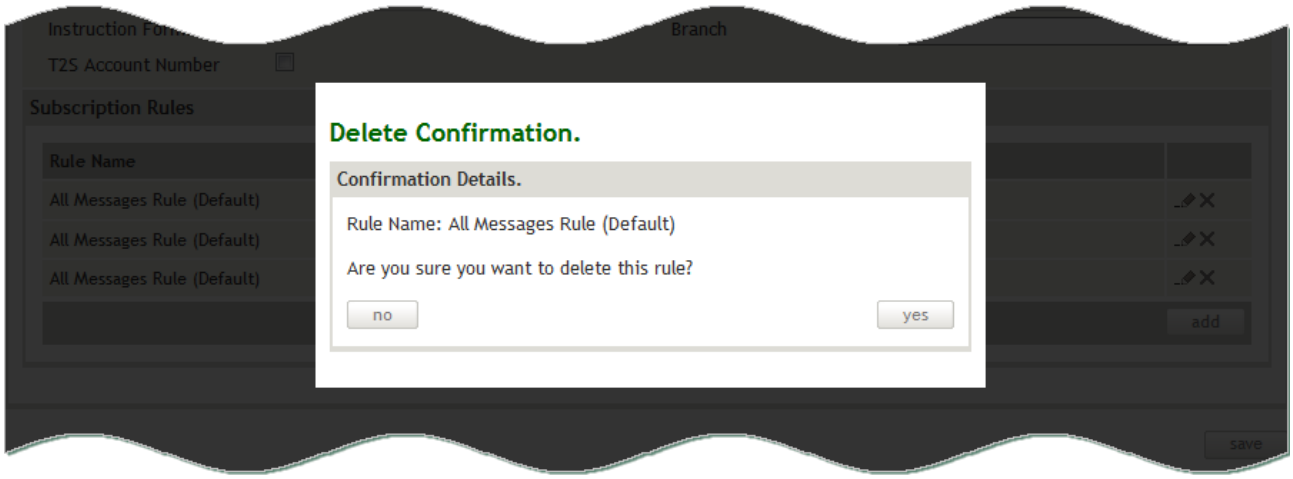


Figure 73: Confirm deletion (Message Subscription Rule)

How to Delete a Message Subscription Rule

Step by Step

1 In the menu bar, select *Administration* > *Message Subscriptions*.
The **Search Message Subscription** screen appears.

2 Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.

3 Click on the **search** button.
The search result list containing all message subscriptions matching your search criteria appears.

4 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

INFO	The system only displays the **Edit** icon if your user permissions allow you to modify data.

The **Edit Message Subscription** screen appears.

5 In the row of the record you want to delete in the **Subscription Rules** list, click on the **X** icon.

6 Click **yes** in the pop-up dialog.
The message subscription rule is deleted.
The **Edit Message Subscription** screen appears again.

7 Click **save** to save your changes.
At the top of the screen the system displays a confirmation as soon as your modifications have been saved.

9.2.3 Adding a New Message Subscription Rule

You can create three types of message subscription rules (rule type):

- Settlement Instruction (fig. 74)
- Intra-Position Management (fig. 76)
- Allegement (fig. 77)

Message Subscription Rule.

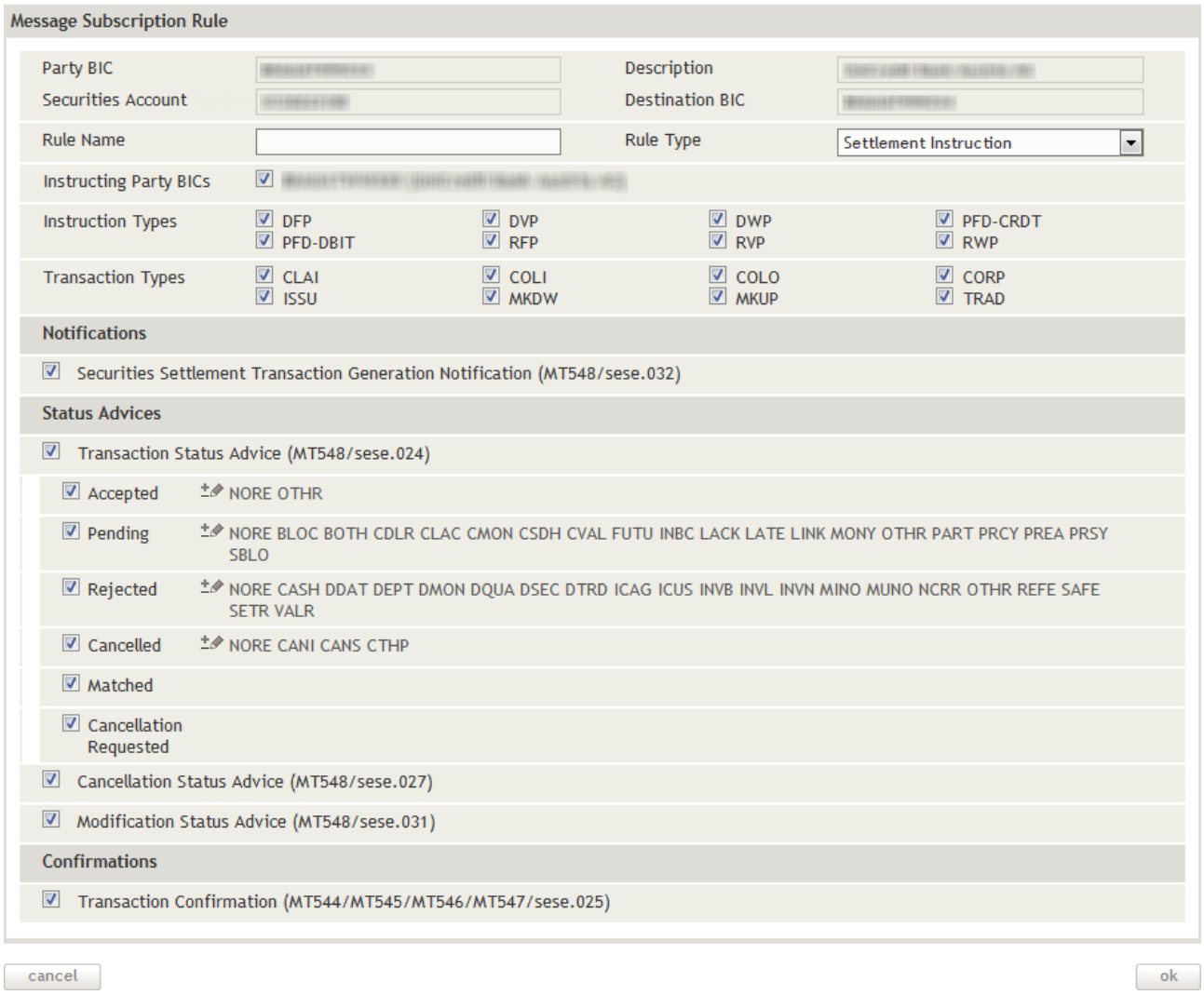


Figure 74: Message Subscription Rule - Settlement Instruction

Figure 75: Transaction Status Advices - Reason Codes (example: cancelled)

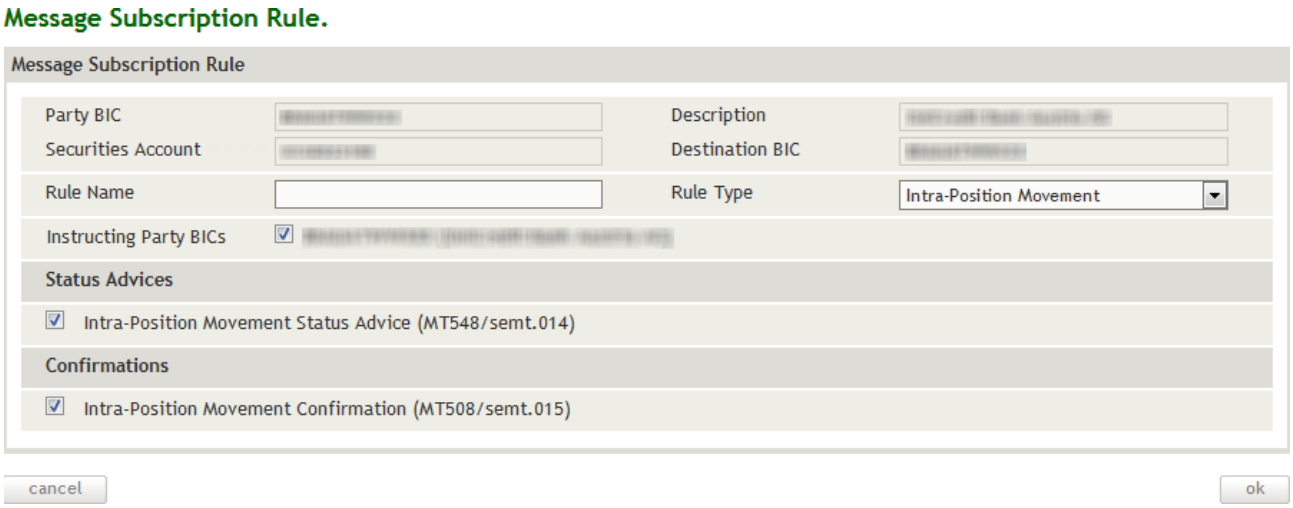


Figure 76: Message Subscription Rule - Intra Position Management

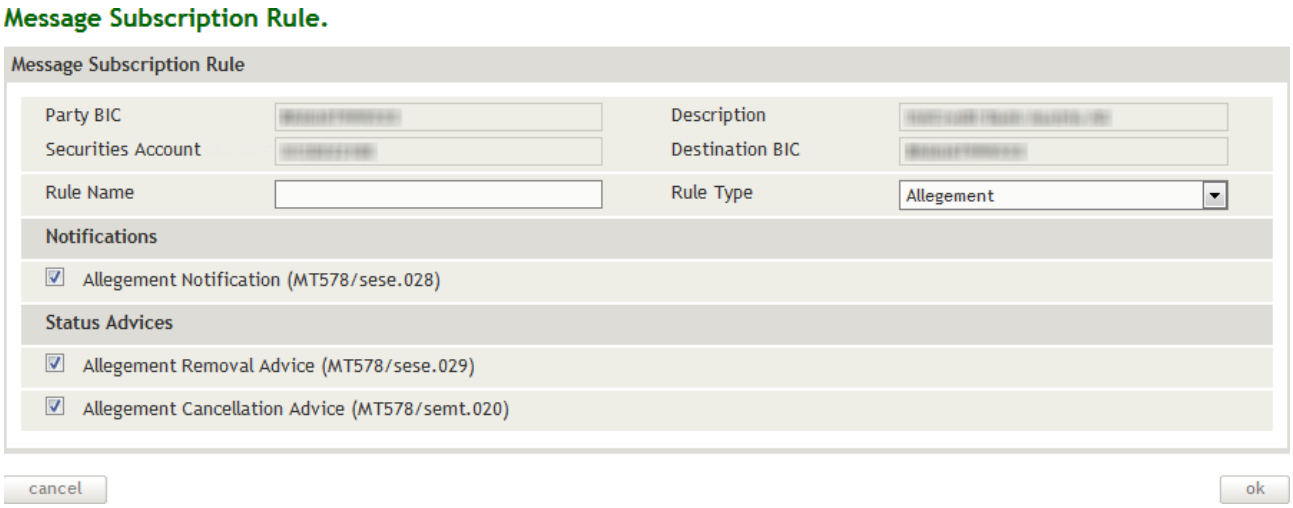


Figure 77: Message Subscription Rule - Allegement

How to Add a New Message Subscription Rule

Step by Step

1. In the menu bar, select *Administration* > *Message Subscriptions*.
   The **Search Message Subscription** screen appears.
2. Enter the desired search criteria in the available fields or limit the selections in the fields completed by the system.
3. Click on the **search** button.
   The search result list containing all message subscriptions matching your search criteria appears.
4. In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

> **INFO** The system only displays the **Edit** icon if your user permissions allow you to modify data.

5. Click on the **add** button at the bottom of the **Subscription Rules** list.
   The **Message Subscription Rule** screen appears.
6. In the field **Rule Name**, enter the designation of the new subscription rule.
7. In the field **Rule Type**, select the type of subscription rule you want to add.
   The system displays the additional parameters available for the selected type of subscription rule.

8 Activate or deactivate the check boxes of the parameters as they shall apply to the new subscription rule (for details on the parameters, please see the Field Descriptions).

TIP	For the transaction status advices **Accepted**, **Pending**, **Rejected** and **Cancelled** in subscription rules of the type **Settlement Instruction** you may specify on a reason code level whether to receive or not to receive message. Activate or deactivate the check boxes of the parameters as they shall apply to the new subscription rule.

9 Click **ok** to confirm your changes.
The **Edit Message Subscription** screen appears again.

10 Click **save** to save your changes.
At the top of the screen the system displays a confirmation as soon as your modifications have been saved.

9.2.4 Field Descriptions (Message Subscription Rule)

The description of the fields in the **Message Subscription Rule** screen is sectioned in three parts, i.e. for the three different types (Rule Type) of subscription rules:

- Settlement Instruction (fig. 74)
- Intra-Position Management (fig. 76)
- Allegement (fig. 77)

The following table describes the two uppermost fields of the screen, which are identical to handle for all types (rule type) of subscription rules:

Field	Content (by system)	Entry (by user)	Input Assist.	Length
Party BIC	BIC of the securities account holder	-	-	-
[Party BIC] Description	The designation of the securities account holder	-	-	-
Securities Account	Securities account defined in the selected message subscription.	-	-	-
Destination BIC	BIC of the party specified as message receiver in the selected message subscription	-	-	-
Rule Name	-	Unique designation of the subscription rule	-	30 alphanum.
Rule Type	Input request 'please select ...'	Selection from **Settlement Instruction**, **Intra-Position Movement** or **Allegement**	Selection	-

9.2.4.1 Settlement Instruction (Rule Type)

Field		An Active (Ticked) Check Box Means ☑
Instructing Party BICs		The subscription rule will apply to the selected BIC(s) of the authorised parties of the holder of the securities account
Instruction Types	**DFP**	Messages from **DFP** settlement instructions will be received.
	DVP	Messages from **DVP** settlement instructions will be received.
	DWP	Messages from **DWP** settlement instructions will be received.
	PFD_CRDT	Messages from **PFD Credit** settlement instructions will be received.
	PFD_DBIT	Messages from **PFD Credit** settlement instructions will be received.
	RFP	Messages from **RFP** settlement instructions will be received.
	RVP	Messages from **RVP** settlement instructions will be received.
	RWP	Messages from **RWP** settlement instructions will be received.
Transaction Types	**CLAI**	Settlement messages from market claims will be received.
	COLI	Settlement messages from collateral instructions (credit provider) will be received.
	COLO	Settlement messages from collateral instructions (credit provider) will be received.
	CORP	Settlement messages from corporate actions will be received.
	ISSU	Settlement messages from securities issuances will be received.
	MKDW	Settlement messages from decreases of global certificates will be received.
	MKUP	Settlement messages from increases of global certificates will be received.
	TRAD	Settlement messages from standard settlement instructions will be received.

Notifications

Securities Settlement Transaction Generation Notification (MT548/sese.032)	Status messages for automatically generated auto-collateralisation settlement instructions will be received.

Field	An Active (Ticked) Check Box Means ☑
Status Advices	
Transaction Status Advice (MT548/ sese.024)	**TIP** If you wish, you can reduce the reasons codes for which you want to receive messages, see Reason Codes.
Accepted	Messages for instructions with status **Accepted** will be received.
Pending	Messages for instructions with status **Pending** will be received.
Rejected	Messages for instructions with status **Rejected** will be received.
Cancelled	Messages for instructions with status **Cancelled** will be received.
Matched	Messages for instructions with status **Matched** will be received.
Cancellation Requested	Messages for instructions with status **Cancellation Requested** will be received.
Reason Codes	
BLOC	If the reason code in an instruction is **Account Blocked**, the message will be received.
BOTH	If the reason code in an instruction is **Both Instructions On Hold**, the message will be received.
CANI	If the reason code in an instruction is **Cancelled By Yourself**, the message will be received.
CANS	If the reason code in an instruction is **Cancelled By System**, the message will be received.
CASH	If the reason code in an instruction is **Cash Account Rejection**, the message will be received.
CDLR	If the reason code in an instruction is **Conditional Delivery Awaiting Release**, the message will be received.
CLAC	If the reason code in an instruction is **Insufficient Securities in Counterparty Account**, the message will be received.
CMON	If the reason code in an instruction is **Insufficient Money in Counterparty Account**, the message will be received.
CSDH	If the reason code in an instruction is **CSD Hold**, the message will be received.
CTHP	If the reason code in an instruction is **Cancelled By Third Party**, the message will be received.
CVAL	If the reason code in an instruction is **CSD Validation**, the message will be received.

Field	An Active (Ticked) Check Box Means ☑
DDAT	If the reason code in an instruction is **Disagreement Settlement Date**, the message will be received.
DEPT	If the reason code in an instruction is **Disagreement Place of Settlement**, the message will be received.
DMON	If the reason code in an instruction is **Disagreement Settlement Amount**, the message will be received.
DQVA	If the reason code in an instruction is **Disagreement Quantity**, the message will be received.
DSEC	If the reason code in an instruction is **Unrecognised or Invalid Financial Instrument Identification**, the message will be received.
DTRD	If the reason code in an instruction is **Disagreement Trade Date**, the message will be received.
FUTU	If the reason code in an instruction is **Awaiting Settlement Date**, the message will be received.
ICAG	If the reason code in an instruction is **Disagreement Delivering/Receiving Agent**, the message will be received.
ICUS	If the reason code in an instruction is **Receiving or Delivering Custodian Rejection**, the message will be received.
INBC	If the reason code in an instruction is **Incomplete Number Count**, the message will be received.
INVB	If the reason code in an instruction is **Invalid Balance**, the message will be received.
INVL	If the reason code in an instruction is **Invalid Link**, the message will be received.
INVN	If the reason code in an instruction is **Invalid Lot Number**, the message will be received.
LACK	If the reason code in an instruction is **Lack of Securities in Account**, the message will be received.
LATE	If the reason code in an instruction is **Market Deadline Missed**, the message will be received.
LINK	If the reason code in an instruction is **Pending Linked Instruction**, the message will be received.
MINO	If the reason code in an instruction is **Quantity Instructed is Lower than the Eligible Amount**, the message will be received.
MONY	If the reason code in an instruction is **Insufficient Money in Account**, the message will be received.
MUNO	If the reason code in an instruction is **Quantity Instructed is not an Eligible Multiple**, the message will be received.
NCRR	If the reason code in an instruction is **Disagreement Settlement Amount Currency**, the message will be received.
NORE	If the reason code in an instruction is **No Specified Reason**, the message will be received.

Field	An Active (Ticked) Check Box Means ☑
OTHR	If the reason code in an instruction is **Other**, the message will be received.
PART	If the reason code in an instruction is **Trade Settles in Partials**, the message will be received.
PRCY	If the reason code in an instruction is **Counterparty Instruction On Hold**, the message will be received.
PREA	If the reason code in an instruction is **Your Instruction is On Hold**, the message will be received.
PRSY	If the reason code in an instruction is **On Hold By System**, the message will be received.
REFE	If the reason code in an instruction is **Duplicate Instruction**, the message will be received.
SAFE	If the reason code in an instruction is **Disagreement Buyer/Seller Account**, the message will be received.
SBLO	If the reason code in an instruction is **Securities Blocked**, the message will be received.
SETR	If the reason code in an instruction is **Unrecognised or Invalid Settlement Transaction Type**, the message will be received.
VALR	If the reason code in an instruction is **Validation Rule Rejection**, the message will be received.
Cancellation Status Advice (MT548/sese.027)	Status messages from cancellation instructions will be received.
Modification Status Advice (MT548/sese.031)	Status messages from modification instructions will be received.

Confirmations

Transaction Confirmation (MT544/MT545/MT546/ MT547/sese.025)	Messages from settlement confirmations will be received.

9.2.4.2 Intra-Position Movement (Rule Type)

Field	An Active (Ticked) Check Box Means ☑
Instructing Party BICs	The subscription rule will apply to the selected BIC(s) of the authorised parties of the holder of the securities account

Status Advices

Intra-Position Movement Status Advice (MT548/ semt.014)	Status messages from intra-position movements will be received.

Field	An Active (Ticked) Check Box Means ☑
Confirmations	
Intra-Position Movement Confirmation (MT508/ semt.015)	Confirmations from intra-position movements will be received.

9.2.4.3 Allegement (Rule Type)

Field	An Active (Ticked) Check Box Means ☑
Notifications	
Allegement Notification (MT578/sese.028)	Settlement messages from allegement notifications will be received.
Status Advices	
Allegement Removal Advice (MT578/sese.029)	The settlement messages sent to remove allegements after the processing of counter instructions to these allegements has been completed will be received.
Allegement Cancellation Advice (MT578/semt-020)	Cancellations of allegement messages automatically generated by the system after cancellation of the associated settlement message will be received.

10 Four Eyes Principle

The Four Eyes Principle settings for authorisation by a second person are defined for the securities accounts created for a party.

How to Open the Four Eyes Principle Screen

Step by Step

1 In the menu bar, select *Administration* > *Four Eyes Principle*.
The **Four Eyes Principle** screen appears.

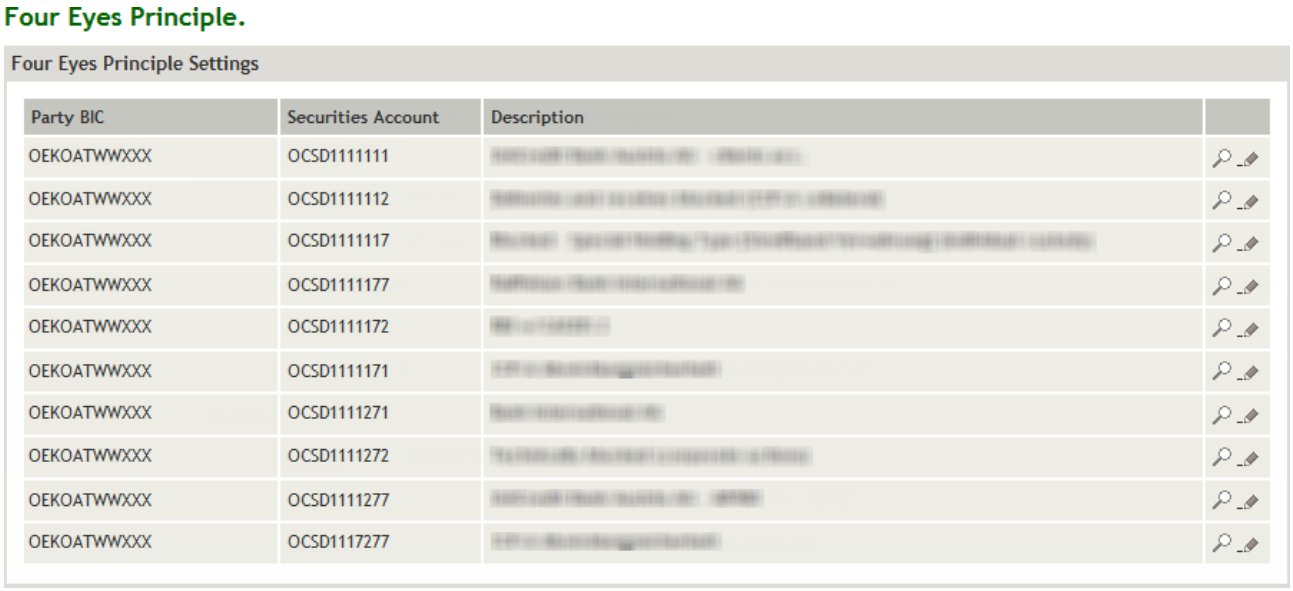


Figure 78: Four Eyes Principle

INFO A list entry is added automatically for each securities account created for a party.

10.1 Edit Four Eyes Principle

For each securities account you can specify the following settings for the authorisation according to the 4-eyes principle:

- Intra-Position Movement
- Physical
- Create/Erase
- Separately for each instruction type (RFP, RVP, RWP, PDF Debit, DFP, DVP, DWP, PFD Credit)

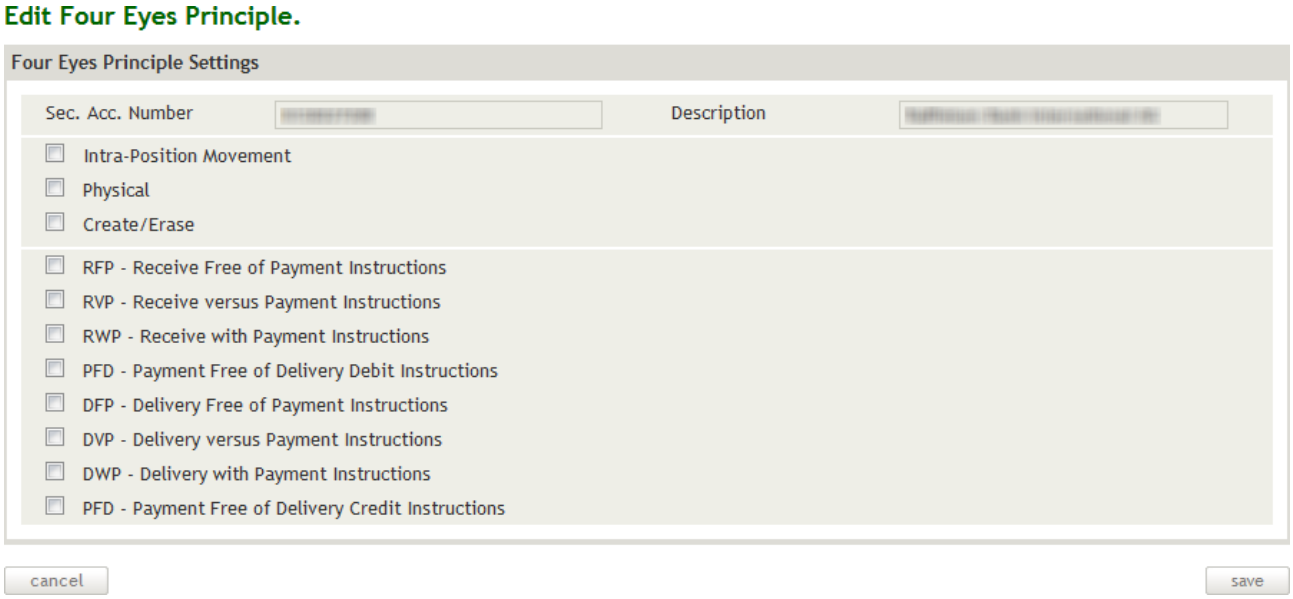

Edit Four Eyes Principle.
Four Eyes Principle Settings
Sec. Acc. Number
Description
Intra-Position Movement
Physical
Create/Erase
RFP - Receive Free of Payment Instructions
RVP - Receive versus Payment Instructions
RWP - Receive with Payment Instructions
PFD - Payment Free of Delivery Debit Instructions
DFP - Delivery Free of Payment Instructions
DVP - Delivery versus Payment Instructions
DWP - Delivery with Payment Instructions
PFD - Payment Free of Delivery Credit Instructions
cancel
save

Figure 79: Four Eyes Principle

10.1.1 Specifying Four Eyes Principle Settings

The Four Eyes Principle settings help you to specify the types of records which need to be approved by a second person before they are submitted to the system for processing.

How to Specify the Settings for Authorisation According to the 4-Eyes Principle

Step by Step

1 In the menu bar, select *Administration* > *Four Eyes Principle*.
The **Four Eyes Principle** screen appears.

2 In the row of the record you want to modify, click on the **Edit** icon to open the **Edit** screen.

> **INFO** The system only displays the **Edit** icon if your user permissions allow you to modify data.

3 Activate the check boxes of all the types of settlement instructions which have to be released by a second person before they are submitted to the system.

4 Click **save** to save the settings for authorisation according to the 4-eyes principle for the securities account.

10.1.2 Field Descriptions (Edit Four Eyes Principle)

Field	Description
Sec. Acc. Number	The complete securities account number, starting with OCSD
[Sec. Acc. Number] Description	Designation of the securities account

Field	An Active (Ticked) Check Box Means ☑
Intra-Position Movement	Newly created, modified or cancelled intra position movements will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
Physicals	Newly created, modified or cancelled instructions for the physical deposit or withdrawal of securities will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
Create/Erase	Newly created, modified or cancelled instructions for the increase or decrease of global certificates will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
RFP - Receive Free of Payment Instructions	Newly created, modified or cancelled instructions of the type **RFP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
RVP - Receive versus Payment Instructions	Newly created, modified or cancelled instructions of the type **RVP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
RWP - Receive With Payment Instructions	Newly created, modified or cancelled instructions of the type **RWP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
PFD - Payment Free of Delivery Debit Instructions	Newly created, modified or cancelled instructions of the type **PFD Debit** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
DFP - Delivery Free of Payment Instructions	Newly created, modified or cancelled instructions of the type **DFP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
DVP - Delivery versus Payment Instructions	Newly created, modified or cancelled instructions of the type **DVP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
DWP - Delivery with Payment Instructions	Newly created, modified or cancelled instructions of the type **DWP** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.
PFD - Payment Free of Delivery Credit Instructions	Newly created, modified or cancelled instructions of the type **PFD Credit** will be displayed in the **Tasks waiting for approval** section of the task box until they are approved by a second person.

11 Billing

The billing module will be implemented in the system at a later date. A description will then be added in the manual accordingly.

12 Reporting

The reporting functionality will be implemented in the system at a later date. A description will then be added in the manual accordingly.

13 User Roles and User Permissions

The following user roles with the associated user authorisations provide access to menu items and functionalities of the Settlement Client:

- Settlement Client FOP User
- Settlement Client FOP Releaser
- Settlement Client VP User
- Settlement Client VP Releaser
- Settlement Client Physical User
- Settlement Client Physical Releaser
- Settlement Client Read only
- Settlement Client Administrator
- Settlement Client Billing

NOTE User permissions and user roles are assigned by each customer's system administrator outside of the Settlement Client.

13.1 Settlement Client FOP User

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	▪ Link to Create Settlement Instruction ▪ Link to Create Intra-Position Movement ▪ Link to Search Settlement Instruction ▪ Link to Search Intra-Position Movement ▪ Link to Search Allegement ▪ Link to Display Securities Account Details ▪ Link to Display Securities Positions ▪ Link to Display Securities Posting Items
	ISIN Search	Search for ISIN
	task box	▪ Tasks waiting for approval ▪ Tasks waiting to process ▪ Instruction Alerts

Main Menu / Home Screen	Menu Item	Permissions
Settlement	Create Settlement Instruction	Creating free of payment instructions ▪ Receive Free of Payment (RFP) ▪ Delivery Free of Payment (DFP)
	Create Intra-Position Movement	Creating restrictions for settlement instructions
	Search Settlement Instructions	Searching free of payment instructions and instructions versus payment ▪ Receive Free of Payment (RFP) ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery Free of Payment (DFP) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP) ▪ Physical Modifying and cancelling free of payment instructions ▪ Receive Free of Payment (RFP) ▪ Delivery Free of Payment (DFP)
	Search Intra-Position Movements	Searching, modifying and cancelling restrictions for settlement instructions
	Search Allegements	Searching free of payment allegement and allegements versus payment and creating free of payment counter instructions ▪ Receive Free of Payment (RFP) ▪ Delivery Free of Payment (DFP)
Holdings	Securities Positions	Searching and viewing securities positions
	Securities Posting Items	Searching and viewing securities bookings
Administration	Message Subscription	Searching and viewing message subscription settings
	Four Eyes Principle	Searching and viewing the settings for authorisation according to the four-eyes principle

13.2 Settlement Client FOP Releaser

NOTE The role **Settlement Client FOP Releaser** can be assigned as an add-on role to a regular user role to allow the user the additional permissions to authorise instructions according to the four-eyes principle.

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	task box	▪ Tasks waiting for approval
Settlement	Search Settlement Instructions	Approving or rejecting free of payment instructions ▪ Receive Free of Payment (RFP) ▪ Delivery Free of Payment (DFP)
	Search Intra-Position Movements	Approving or rejecting restrictions for settlement instructions

13.3 Settlement Client VP User

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	▪ Link to Create Settlement Instruction ▪ Link to Create Intra-Position Movement ▪ Link to Search Settlement Instruction ▪ Link to Search Intra-Position Movement ▪ Link to Search Allegement ▪ Link to Display Securities Account Details ▪ Link to Display Securities Positions ▪ Link to Display Securities Posting Items
	ISIN Search	Search for ISIN
	task box	▪ Tasks waiting for approval ▪ Tasks waiting to process ▪ Instruction Alerts
Settlement	Create Settlement Instruction	Creating instructions versus payment ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP) ▪ Physical

Main Menu / Home Screen	Menu Item	Permissions
	Create Intra-Position Movement	Creating restrictions for settlement instructions
	Search Settlement Instructions	Searching free of payment instructions and instructions versus payment ▪ Receive Free of Payment (RFP) ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery Free of Payment (DFP) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP) ▪ Physical Modifying and cancelling instructions versus payment ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP)
	Search Intra-Position Movements	Searching, modifying and cancelling restrictions for settlement instructions
	Search Allegements	Searching free of payment allegement and allegements versus payment and creating counter instructions versus payment ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP)
Holdings	Securities Positions	Searching and viewing securities positions
	Securities Posting Items	Searching and viewing securities bookings
	Cash Preview	Searching and Viewing cash movements
Administration	Message Subscription	Searching and viewing message subscription settings
	Four Eyes Principle	Searching and viewing the settings for authorisation according to the four-eyes principle

13.4 Settlement Client VP Releaser

NOTE The role **Settlement Client VP Releaser** can be assigned as an add-on role to a regular user role to allow the user the additional permissions to authorise instructions according to the four-eyes principle.

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	task box	▪ Tasks waiting for approval
Settlement	Search Settlement Instructions	Approving or rejecting instructions versus payment ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP)
	Search Intra-Position Movements	Approving or rejecting restrictions for settlement instructions

13.5 Settlement Client Physical User

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	▪ Link to Create Physical ▪ Link to Search Physical ▪ Link to Display Securities Account Details ▪ Link to Display Securities Positions ▪ Link to Display Securities Posting Items
	ISIN Search	Search for ISIN
	task box	▪ Tasks waiting for approval ▪ Tasks waiting to process ▪ Instruction Alerts
Settlement	Create Physical Instruction	Creating instructions for the physical withdrawal and deposit of securities
	Search Physical Instructions	Searching, modifying and cancelling instructions for the physical withdrawal and deposit of securities
Holdings	Securities Positions	Searching and viewing securities positions
	Securities Posting Items	Searching and viewing securities bookings
Administration	Message Subscription	Searching and viewing message subscription settings

Main Menu / Home Screen	Menu Item	Permissions
	Four Eyes Principle	Searching and viewing the settings for authorisation according to the four-eyes principle

13.6 Settlement Client Physical Releaser

NOTE The role **Settlement Client Physical Releaser** can be assigned as an add-on role to a regular user role to allow the user the additional permissions to authorise instructions according to the four-eyes principle.

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	task box	▪ Tasks waiting for approval
Settlement	Search Physical Instructions	Approving or rejecting instructions for the physical withdrawal and deposit of securities

13.7 Settlement Client Read only

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	▪ Link to Search Settlement Instruction ▪ Link to Search Intra-Position Movement ▪ Link to Search Allegement ▪ Link to Search Physical ▪ Link to Display Securities Account Details ▪ Link to Display Securities Positions ▪ Link to Display Securities Posting Items
	ISIN Search	Search for ISIN
	task box	▪ Tasks waiting for approval ▪ Tasks waiting to process ▪ Instruction Alerts

Main Menu / Home Screen	Menu Item	Permissions
Settlement	Search Settlement Instructions	Searching free of payment instructions and instructions versus payment ▪ Receive Free of Payment (RFP) ▪ Receive versus Payment (RVP) ▪ Receive with Payment (RWP) ▪ Payment Free of Delivery Debit/Credit (PFD) ▪ Delivery Free of Payment (DFP) ▪ Delivery versus Payment (DVP) ▪ Delivery with Payment (DWP) ▪ Physical
	Search Intra-Position Movements	Searching restrictions for settlement instructions
	Search Allegements	Searching free of payment allegements and allegements versus payment
Holdings	Securities Positions	Searching and viewing securities positions
	Securities Posting Items	Searching and viewing securities bookings
	Cash Preview	Searching and viewing cash movements
Administration	Message Subscription	Searching and viewing message subscription settings
	Four Eyes Principle	Searching and viewing the settings for authorisation according to the four-eyes principle

13.8 Settlement Client Administrator

Main Menu / Home Screen	Menu Item	Permissions
Home Screen	Securities Accounts Overview	▪ Link to Display Securities Account Details ▪ Link to Message Subscription Settings ▪ Link to Four Eyes Principle Settings
Administration	Message Subscription	Searching, viewing and editing message subscription settings
	Four Eyes Principle	Searching, viewing and editing the settings for authorisation according to the four-eyes principle
Reporting	Reporting	Reporting functionalities

13.9 Settlement Client Billing

Main Menu / Home Screen	Menu Item	Permissions
Billing	Billing	Billing functionalities

14 Glossary

List of Terms	Explanation
4-eyes principle	See Four Eyes Principle
Button	Rectangular field in the screens of the Settlement client in the form of a pushbutton. Clicking on this field with the left mouse button triggers a certain program function.
Cash account	Account for the transfer or receipt of payments.
Detail View	Screen in the Settlement Client where data are displayed, but which does not allow these data to be modified by users.
Dual control	See Four Eyes Principle
Edit screen	Screen in the Settlement Client where users may edit and modify data. Whether a specific user may modify a specific record depends on the user's permissions and the processing status of the record.
Field	Unit of the Settlement Client user interface which allows the entry or display of a specific information detail of a record. Different types of fields in the Settlement Client support the entry of different types of information, such as textual information, numbers and amounts, date entries, etc.
Four Eyes Principle	Two-level verification method for entering, modifying and deleting instructions and other records where the instructions entered in the Settlement Client must be approved by a person other than the one who has originally entered the data. Only after approval by the second user the information will be released for further processing.
Function link	Link in screens and detail views which triggers a specific action, similar to buttons.
History	See Message History
Icon	Graphical display element without text of the Settlement Client user interface, which functions as a link that triggers a certain action.
Input Assist.	The Settlement Client supports the input of data in frequently used fields. After the entry of one or several characters it displays a selection list of choices containing the characters entered. User need only choose the required entry from the list of choices, which completes the entry in the respective field.
Input screen	See Screen.
Instruction type	Category of instructions of the same type, e.g. DVP - Deliver Versus Payment or RFP - Receive Free of Payment.
Intra-position movement	Instruction to flag securities positions for a specific purpose.

List of Terms	Explanation
Linkage	Relation between two or more instructions or restrictions determining their processing sequence, defining instructions or restrictions that have to be processed simultaneously (pool) or informing of specific details.
List	Unit of the Settlement Client user interface which displays data in the form of a table. For example, lists are filled with the appropriate data after a search was performed. The lists display data in a predefined layout.
Login	Registration of a user at a software application. For this purpose user data are entered, which identify the user within the system. A successful login is the prerequisite for working with the Settlement Client. Users log on in the Login Portal for IT Services of OeKB and OeKB CSD GmbH.
Logout	Exiting of a user from a software application. Users log out from the Settlement Client by closing the browser window. This ends the current user session with the system. A new login is possible in the Login Portal for IT Services of OeKB and OeKB CSD GmbH.
Menu	The main menu of the Settlement Client contains all available program functions in the form of menu items grouped in a clear hierarchical structure.
Message History	Progress log for instructions and restrictions, which lists all actions performed for a certain instruction and the associated status transitions chronologically. The Message History is displayed as the last tab of settlement instructions and intra-position movements in the Summary screen and in the detail view.
Record	A data set which together represents a certain information unit. An information unit may be e.g. an instruction, a restriction, a message subscription or any other information unit which may be processed in the Settlement Client.
Save	Confirmation of entered data and submittal of the record to the system.
Screen	Unit of the Settlement Client user interface which contains several elements (fields) for entering or displaying details of information.
Search result list	List displayed after a search run was performed. Search result lists contain the results which meet the defined search criteria.
Services	IT Services of OeKB and OeKB CSD GmbH for the safekeeping, management and settlement of securities providing state-of-the-art, user-friendly real-time systems and professional support. The Login Portal of the OeKB CSD Services is where you can log on to the Settlement Client.
Settlement Client	System of the OeKB CSD for the settlement of securities instructions online.
Settlement instruction	Order for carrying out a securities transaction by one of the involved parties. Usually there is an instruction (own order) and a counterparty instruction (order of the other party involved).
Step	One of the tabs of the **Create Settlement Instruction** screen containing fields for inputting logically grouped instruction data.
Summary screen	Complete display of a newly created settlement instruction or settlement restriction including the Message History.

List of Terms	Explanation
Taskbox	Section of the Home screen listing instructions and intra-position movements waiting for approval and open instructions and intra-position movements, as well as instructions and intra-position movements with status Pending.
Tooltip	Pop-up text providing helpful information or explaining a certain screen element. A tooltip is displayed when you hover the mouse pointer over e.g. a button or any other screen element for about 2 seconds.

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